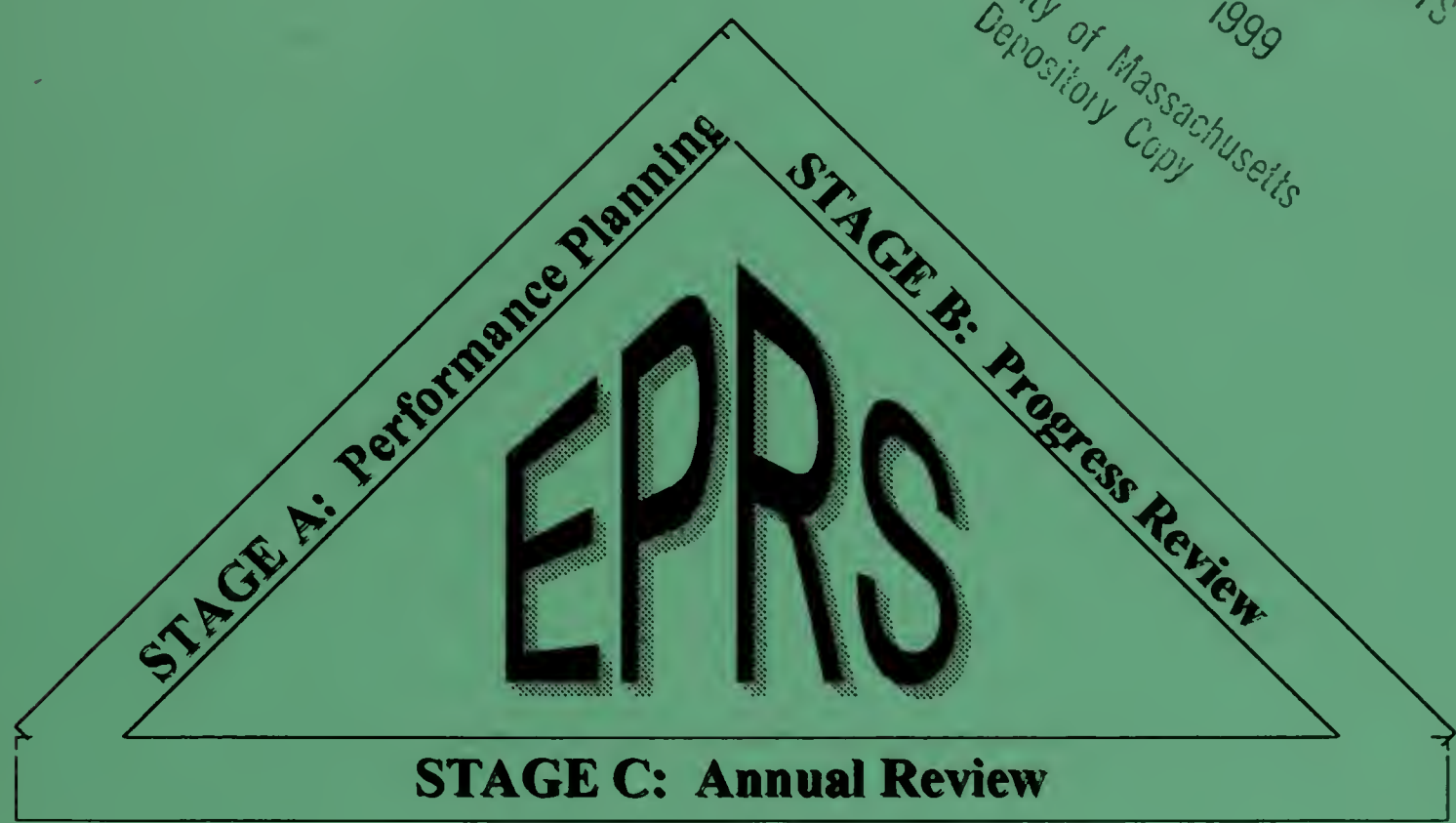
Employee Performance Review System (EPRS)

MANUAL



The Commonwealth of Massachusetts
Human Resources Division

July, 1998

Employee Performance Review System (EPRS) Manual

Contents:

THE COMMONWEALTH OF MASSACHUSETTS
EXECUTIVE OFFICE FOR ADMINISTRATION AND FINANCE
HUMAN RESOURCES DIVISION
ONE ASHBURTON PLACE, BOSTON, MA 02108

ARGEO PAUL CELLUCCI
Governor

CHARLES D. BAKER
Secretary

JAMES J. HARTNETT, JR.
Personnel Administrator

July, 1998

Dear Agency Trainer,

Welcome to the new Employee Performance Review System (EPRS) Manual. The goal of this EPRS program is to ensure that all Executive Branch Agencies train all of its supervisors to effectively administer the EPRS.

The purpose of EPRS is to define, for both the employee and supervisor, the job duties that will be expected of the employee for the year. EPRS also helps to define how an employee's job performance will be evaluated and it gives an overview of how the job duties, when successfully completed, will contribute to agency mission, goals and objectives. An evaluation form becomes part of an employee's permanent personnel record and it's often used by an agency when making important decisions on issues such as step raises and salary increases, promotions, job training and development, or possibly disciplinary actions.

Therefore, it is necessary for agencies to administer the EPRS in a consistent and thorough manner. In order for any agency's supervisors to be effective at completing the EPRS, they must always be current on its procedures and have updated EPRS materials. This manual will enable them to do that. The manual includes Train-The-Trainer materials (for the training of supervisors), a Supervisor's Guide to EPRS, an Employee's Guide to EPRS, and all the forms needed to complete the EPRS process. All four of these sections reflect recent collective bargaining negotiations with the National Association of Government Employees (NAGE) which became effective as of July 1, 1998. The following is a list of those modifications, intended to enhance the overall effectiveness of the EPRS process:

- A three tiered system of "Meets", "Exceeds" or "Below" expectations for rating employee performance will be utilized.
- A Remedial Development Plan is required for any employee whose Mid-Year and/or Annual Evaluation is "Below".
- A Performance Incentive Pilot Program which provides employees who attain an overall annual performance rating of "Exceeds" one day off, with pay, to be utilized within six months of the receipt of the rating. There is no charge to leave balances for this day. This incentive program was a key management initiative in the collective bargaining process intended to add value to the rating process. Unlike previous incentive programs, this module allows for all employees who achieve an "Exceeds" rating, to receive a bonus without any restrictions created by allocated funds.

Future collective bargaining contracts may also contain very similar provisions, so it is important for all supervisors to be aware of these changes.

In order for HRD to track the progress of training all supervisors throughout the Commonwealth, each agency is required to submit the attached "EPRS Training Plan" to the Human Resources Division. The form should be submitted to HRD before the supervisor training initiative commences.

Also attached is an "EPRS Supervisor Training Log". Please make copies of the log which will serve as the sign-in sheet at each training session. Fax the log to HRD at the completion of each training session so that HRD can track each agency's success at accomplishing its "EPRS Training Plan".

Thank you for your attention to these important EPRS issues and for taking part in the state-wide initiative.

EMPLOYEE PERFORMANCE REVIEW SYSTEM
"EPRS TRAINING PLAN"

Please complete and submit the "EPRS Training Plan" before agency supervisor training begins.
Mail to: One Ashburton Place, Room 1002, Boston, MA 02108 -or- **Fax to**: 617-727-4331.

---

1. Agency Name & Location:_____

2. Trainer's Name and Phone No.:_____

3. How many supervisors are in your agency?_____

4. What is your plan for training these supervisors?_____

5. When do you anticipate all supervisors in your agency will have received EPRS training?_____

_____ Trainer's Signature/Date

_____ Agency Head's Signature/Date

Please make copies of the attached EPRS Supervisor Training Log so that it can be used as a sign-in sheet at each session. Fax the log to HRD at the completion of each training session so that HRD will have a complete file for each agency. HRD will use the log to track the progress of agency training and its meeting of this "EPRS Training Plan". Thank you.

"Employee Performance Review System (EPRS) Supervisor Training Log"

Agency:_____
Name of Trainer:_____
Address:_____
Phone:_____
Date of Training:_____

Please have each supervisor sign-in for the training session.

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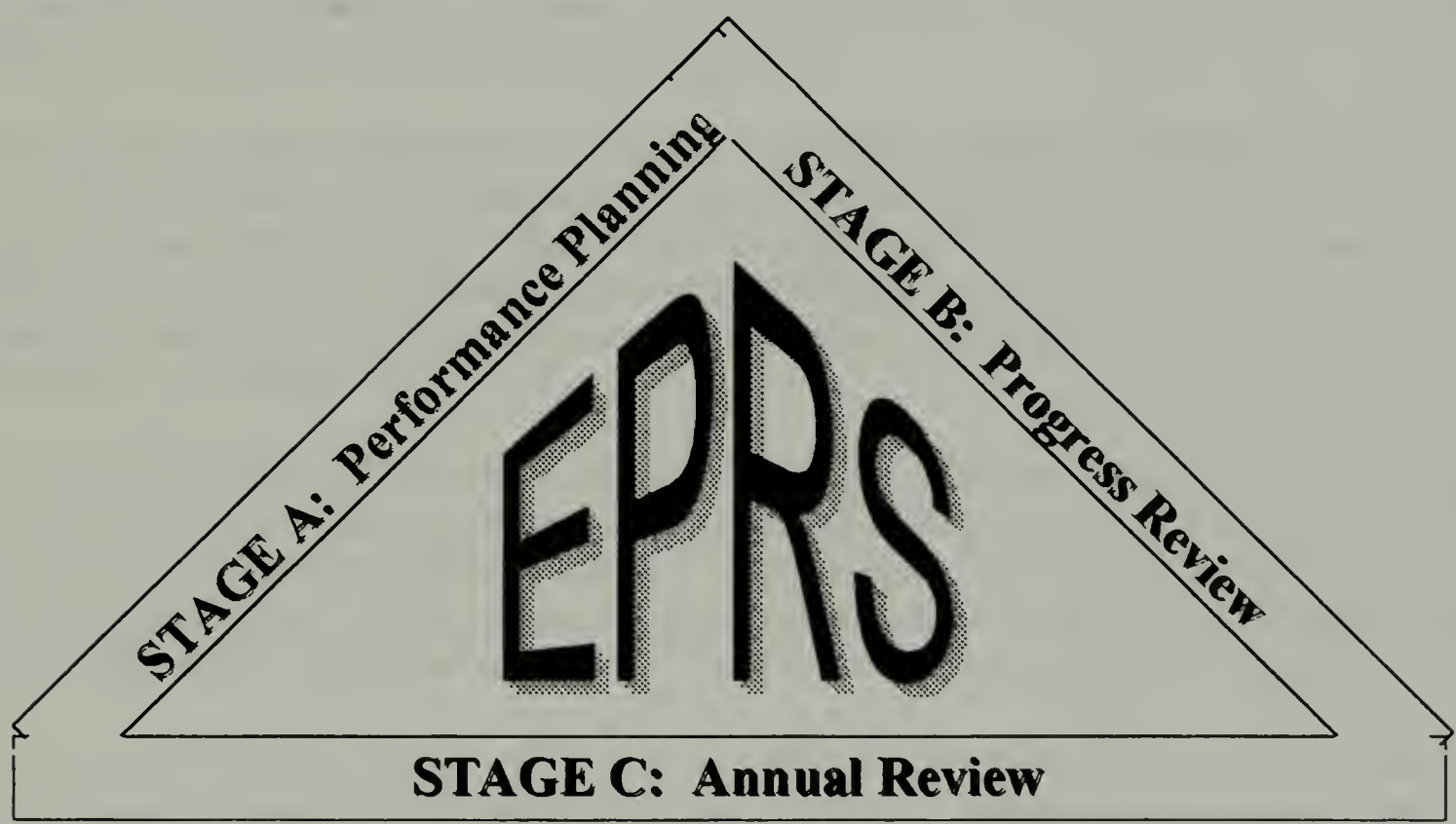
Please sign the training log and fax to the Human Resources Division, Training Group at 617-727- 4331, attention EPRS Coordinator. Thank you.

Trainer's Signature/Date **Agency Head's Signature/Date**

TRAIN-THE-TRAINER

EPRS Trainer's Manual



Commonwealth of Massachusetts
Human Resources Division

July, 1998

EPRS Trainer's Manual

The Employee Performance Review System (EPRS) is a tool for planning, monitoring and evaluating performance. Like any tool, it is useful only if used with skill and for the appropriate purposes.

If you ask a room full of employees what they would like from their supervisors, after some laughs, you will receive responses such as:

> "I'd like to know what he expects of me."
> "I'd like her to notice that I contribute."
> "I'd like to know what's <u>really</u> important."
> "I'd like some training."

All of these wishes, which are the basic responsibilities of any Supervisor, are built into EPRS. By using EPRS a Supervisor can structure and simplify his/her supervisory responsibilities, while satisfying both the agency's and the Employees' needs.

These Train-the-Trainer materials are written in a way which recognizes the range of experience with EPRS which exists within agencies. In some agencies, EPRS has been used relatively consistently since its inception; in others, it has been little more than a paper process; and in others it has been left up to individual supervisors. Our goal is to ensure that EPRS is used consistently and appropriately on a statewide basis and that every supervisor is trained to effectively use the EPRS.

It is up to you to select those modules, or parts of modules, which are most relevant at this time for your agency and to add other topics which are timely and appropriate. For example, in some agencies the writing of job duties and criteria must be revisited, and there are materials which highlight some of what we have learned about writing them since the initial EPRS implementation. In other agencies, the duties and criteria work fine but the rating scale is misunderstood.

Your Human Resources Manager will help you determine which materials are relevant to the employees in your agency. The assumption is that all training participants will be supervisors who have employees covered by one or more of the collective bargaining agreements.

In preparation for this training, you will need:

- To be familiar with the EPRS Supervisor's manuals
- The history and status of EPRS in your agency
- The calendar for EPRS
- Sample Form 30's
- Blank EPRS forms
- Samples of completed forms--both good and bad
- Lists of generic job duties and performance criteria, if used

Ideally, each EPRS training session should be opened by your Agency Head or his/her designee. S/He should set the stage for looking at EPRS in a new light. At the very least, you should be authorized to collect outstanding issues and unanswerable questions to forward to your Human Resources Manager following the sessions.

Each training module includes Trainer's notes (in italics), Presentation and Practice.

The Trainer's notes provide you with suggestions about how to use these materials.

The Presentations are extensively scripted. Please make this manual your own by highlighting key phrases or reducing presentations to outlines. The portions of the presentations which will require the trainer to use handouts or transparencies are reproduced in Appendix A for that purpose.

The Practice sessions are exercises which you may adapt according to the needs of participants.

Table of Contents and Estimated Timing of Modules

Module I: History of EPRS

Trainer's Note: You know, or need to find out, the history of your agency regarding EPRS. The purpose of this section is to quickly get past the bad experiences, mistaken assumptions and worst fears which prevent people from seeing EPRS as a useful tool.

Presentation: History of EPRS

- **The Law**: In 1981, the legislature passed a law stating that every state employee shall be evaluated annually. There were a number of reasons including: performance reviews were already standard practice in the private sector; Commonwealth employees had no record of their performance to show when applying for promotions or transfers; and there was no way to tie performance to the goals of the agency.
- **The Collective Bargaining Agreements**: The first state employees to be evaluated were managers under the Performance Management System, now the Management Performance Review System (MPRS). EPRS was then negotiated with the collective bargaining units to complete the legal mandate. As part of collective bargaining negotiations with the National Association of Government Employees (NAGE), the EPRS process has been modified, effective July 1, 1998, as follows:
    - A three tiered system of "Meets", "Exceeds" or "Below" expectations for rating employee performance will be utilized.
    - The formulation of a Remedial Development Plan will be required for any employee whose Mid-Year and/or Annual Evaluation is "Below".
    - A Performance Incentive Pilot Program has been established which provides employees who attain an overall annual performance rating of "Exceeds" one day off, with pay. This was a key management initiative in collective bargaining negotiations to add value to the rating process. Unlike past incentive programs, this module allows for all employees who achieve an "Exceeds" rating, to be granted a bonus without any restrictions created by allocated funds.

  It is intended for similar provisions to be included in other future collective bargaining contracts. These issues will be discussed in greater depth later in the training session.
- **The Bell-Shaped Curve**: During the initial implementation of EPRS, the bell-shaped curve was introduced to represent the theoretical distribution of ratings in a large, random sample. In reality, most employees are performing their jobs satisfactorily. It is not appropriate to apply the bell-shaped distribution to specific groups of employees. There are no predetermined caps on ratings.
- **Uses of EPRS**: Supervisors use EPRS to clarify performance expectations, to identify training needs, and to assist in making decisions regarding salary and step increases, promotions and possible disciplinary action. A completed EPRS form is part of the Employee's personnel record. As such, it is one source of data to be considered when personnel decisions are being made.
- **From Then Until Now**: The experience with EPRS since its inception varies from agency to agency. While many have integrated it into the operation of the agency, others have left it to the discretion of individual supervisors, and some have done little or nothing.
- **Now**: The Human Resources Division is having all agencies revisit their use of EPRS in order to ensure consistency of use statewide and to use it more effectively as a tool for accomplishing the agency's goals and objectives. The aim is to more closely integrate each

agency's strategic and business planning processes with both the Management Performance Review System and the Employee Performance Review System. Within this agency *insert information on: how your agency uses EPRS (i.e., for transfers and promotions, disciplinary action, etc.) and EPRS's relationship to other managerial or administrative tools.*

Module II: Experience with EPRS--Individually and Statewide

Trainer's Note: In many instances employees have had or have heard about bad experiences with EPRS. These experiences are now obstacles to employees hearing how EPRS can be used effectively. In order to overcome these obstacles we need to identify them explicitly. We do not, however, want the focus of the training to be on EPRS war stories. One approach (Version A, below) is to ask participants to share their experiences and to then translate them into issues to be addressed. Another approach, with a less forthcoming group, is to tease it out of them with humor (Version B). With both approaches the key is to let participants know that their perceptions and complaints are valid, and that they will be addressed.

In preparation for either of these exercises, as well as the rest of this training, you should be very familiar with the Questions and Answers provided in Appendix B of the EPRS Supervisor's Manual. This is the most complete listing of issues which have been identified repeatedly and will undoubtedly be an important reference for you.

Practice: Experience with EPRS (Version A)

Ask participants to share their experiences or issues regarding EPRS. In a large group, get sample responses. Try to translate their horror stories into questions or concerns. Do not address the issues raised. Instead, acknowledge their experiences and post them on newsprint as a point of reference for later.

For example:

if someone says:	then write:
"All of my people deserve 'Exceeds'."	How is 'Exceeds' defined?
"It's just a paper process; it has no value."	What is the value of EPRS?
"It's all favoritism."	How to get fair ratings?
"My reviewer doesn't really know what I do."	What is the role of the reviewer?

As these questions are answered throughout the training, you can check them off the list. Those which are now answered should be noted and referred for further action.

Practice: Experience with EPRS (Version B)

If you anticipate difficulty getting participants to discuss their EPRS experiences, use the "EPRS: Facts and Fictions" test.

Hand out the test, found in Appendix A, and have participants complete it individually. Through a show of hands, identify how many vote "True" and how many vote "False" for each statement. Comment on the presence or absence of consensus around each. Do not, however, correct them.

Record the votes and put them aside (to avoid reinforcing wrong answers through viewing them through the session.) State that you will revisit the questions at the end of the session to see if they have changed their answers.

(You should know that only statements 4, 6, 8, 9 and 12 are true.)

Presentation: Elements of a Successful EPRS Program

Experience in a number of agencies with refining EPRS has led to significant learning about the elements of a successful EPRS program. These elements are:

- **Receives Executive and Reviewer level support**. While individual supervisors can significantly impact their employees through the effective use of EPRS, without executive and reviewer level support it is difficult to sustain momentum and overcome obstacles. Any perception of lack of fairness is exacerbated if support is not provided from elsewhere in the agency.
- **Tied to other planning and monitoring tools**. EPRS should be consistent with and supportive of the agency's Management Performance Review System as well as any other tools for planning and monitoring the agency's progress.
- **Training provided**. Neither supervisors nor employees are born knowing how to conduct EPRS. Training must be on-going to suit the needs of the audience. Regularly scheduled introductions to EPRS should be conducted for new supervisors and new employees. Additional related training should be offered to improve supervisory skills.
- **Applied consistently**. This means within a unit and across the agency. There must be a common understanding of the use of the tool.
- **Reflects reality**. If duties or ratings do not reflect the Employee's reality, the system has no credibility.
- **Monitored appropriately**. Quality control is key to the ongoing effectiveness of EPRS.
- **No surprises!** If any of the participants in EPRS are surprised by a rating, then appropriate communications are not occurring on a regular basis. The key to eliminating surprises is communication between Reviewers and Supervisors throughout each step in the process, and particularly before ratings are given.

Module III: Overview of EPRS

Trainer's note: This module gives the basic introduction to EPRS. It is geared towards supervisors who have not had any EPRS training. It may be abbreviated as a refresher for those who have.

For this module, as well as those which follow, participants should have EPRS Supervisor's manuals available and, ideally, sample forms for their own employees.

Presentation: EPRS Roles and Responsibilities

There are four key participants in the completion of any one employee's EPRS form:

- **Agency Head**: The Agency Head is accountable for the accomplishment of the agency's priority objectives. The Management Performance Review System and the Employee Performance Review System are crucial planning and monitoring tools for structuring the work of the agency, allocating resources and the early identification of obstacles. The Agency Head should communicate the agency's priority objectives to the entire staff so that individual performance objectives and duties will support the overall objectives.

- **Reviewer**: The Reviewer is the Supervisor's supervisor. The Reviewer is responsible for the final rating of the Employee and therefore should be in touch with the Supervisor on an on-going basis. The Reviewer is meant to have a broader view of the agency's needs and performance standards, and to ensure that employees are evaluated fairly and appropriately. The Reviewer should evaluate the Supervisor in part on the basis of how well he/she is using EPRS as a constructive tool for planning and supervising.

- **Supervisor**: The Supervisor has the day-to-day responsibility to assign work, monitor performance, and provide training and coaching. EPRS is a tool for structuring these supervisory responsibilities. The Supervisor, in consultation with the Reviewer and with input from the Employee, determines EPRS job duties. The Supervisor should be accountable for how well he/she implements EPRS. In fact, for Supervisors who are managers, the "effective and timely administration of performance appraisal systems" is part of the duties common to all managers through the Management Performance Review System.

- **Employee**: The Employee is an active participant in EPRS, providing input into the selection of duties and performance criteria, providing data about performance and participating in appropriate training.

Presentation: The Cycle

Trainer's Note: Have participants refer to the appropriate portions of the Supervisor's manual during the discussion of each of the Stages. For those new to EPRS, explain that some of the concepts mentioned in this overview will be expanded upon later, such as "job duties", "performance criteria", "ratings", "employee development plan" and "remedial development plan".

Stage A: Performance Planning

EPRS is a prospective system which means it starts with Stage A, by looking ahead. The primary responsibility during Stage A is to determine Job Duties and Performance Criteria which will contribute to the accomplishment of agency goals and objectives and be used by the Supervisor to evaluate the Employee's performance. Stage A occurs in July, the beginning of the fiscal year, and should be modified within 10 days of a change in the Employee's responsibilities. Let's review the five steps of Performance Planning as outlined in the EPRS Supervisor's manual:

1. **Review the three stages of EPRS**
2. **Discuss the role of the Employee**
3. **Discuss and write down job duties**
4. **Discuss and write down performance criteria**
5. **Sign the form and get signatures**

Stage B: Progress Review

In order for the final evaluation to be valid and fair, performance throughout the year must be monitored. The Employee must be given feedback about his/her performance, and duties and criteria must change if actual priority responsibilities change. This is the purpose of the Progress Review.

The formal Progress Review occurs in December-January or half-way through a performance cycle. This is when the Employee gets Advisory Ratings. Advisory Ratings let the Employee know how he/she is performing thus far in the performance cycle. They are an indication of what the final rating will be if performance continues as is. Formal Progress Reviews also occur when there is a change in the Employee's job title or supervisor.

In addition to Advisory Ratings for each duty, the Employee will be given a Progress Review Summary Rating which reflects his/her overall performance during this period. This overall rating reflects performance on all assignments, not just those related to priority duties.

The formal Progress Review is also a time to reaffirm that the priority duties continue to be the most appropriate in light of the agency's goals and the Manager's priority initiatives under the Management Performance Review System. If they are no longer appropriate, revise them.

Informal Progress Reviews are a part of regular supervision. They are an opportunity for you and the Employee to share recent examples of the Employee's performance, both good and bad, and to discuss the potential impact of such a pattern of performance. These meetings are particularly important when performance might result in a rating of "Unsatisfactory" or "Below". Any Employee who may receive a final overall rating of "Unsatisfactory" or "Below" must be notified

at least three months prior to the final rating (e.g., generally by April 1, for those Employees who are on a full annual cycle) and told what improvements are necessary in order to be rated "Satisfactory" or "Meets." A Remedial Development Plan must be formulated with the employee and supervisor for "Below" or "Unsatisfactory" ratings.

The seven steps of Progress Review, as outlined in the EPRS Supervisor's manual, are:

1. **Meet informally with the Employee regularly.**
2. **Begin the mid-year review meeting.**
3. **Discuss and rate performance for each duty.**
4. **Discuss and write down ways to improve performance.**
5. **Discuss and rate overall job performance.**
6. **Update the duties and criteria.**
7. **Sign the form and get signatures.**
8. **Prepare Remedial Development Plan where necessary.**

Stage C: **Annual Review**

The Annual Review is when the Supervisor, after consulting with the Reviewer, evaluates the Employee's overall performance for the year. Performance is evaluated on each duty and overall. The Annual Review occurs in June, or when an Employee terminates and goes to another agency. The five steps in the Annual Review, as outlined in the EPRS Supervisor's manual, are:

1. **Begin the Annual Review.**
2. **Discuss and rate performance for each duty.**
3. **Discuss and rate overall job performance.**
4. **Discuss and write down an Employee development plan.**
5. **Sign the form and get signatures.**
6. **Prepare Remedial Development Plan where necessary.**

Presentation: The Form

Trainer's note: For this section, have participants refer to a blank form. The writing of job duties and performance criteria, as well as how to make ratings, will be discussed in a later section.

The EPRS form should be viewed as the table of contents for the record of an Employee's performance during a particular fiscal year. All participants should feel free to attach comments or examples to the form, which then become part of the Employee's personnel record.

The front of the EPRS form records the completion of activities for each stage of the process.

Identifying information:

Name:	Employee being evaluated	Evaluation Year:	Fiscal Year or unusual cycle
Agency:	Agency	Location/Unit:	Location or Unit
Job Title:	From Form 30	Functional Title:	From organizational chart
Supervisor:	Supervisor	Reviewer:	Supervisor's supervisor

Stage A: Performance Planning

Here the Supervisor checks off the completion of Stage A responsibilities. At the end of the Stage A meeting, the Employee signs the form to indicate that he/she understands the job duties and performance criteria. The Supervisor signs to indicate that what is written on the back of the EPRS form is what will be used to judge this Employee's performance. The Reviewer signs to indicate acceptance of what the Supervisor and Employee have developed. Any of the three may attach comments to the form at any of the stages and so indicate by checking the appropriate place under his/her signature.

Stage B: Progress Review

This section is for recording the activities of the formal Progress Review. Again the Supervisor will check off the completion of this stage's activities.

In Stage B, the Supervisor will also check off the Progress Review Summary Rating. This rating reflects the Employee's overall performance during this period.

Supervisors' written comments are required at this time for any overall rating other than "Exceeds", "Meets" or "Satisfactory." However, "Meets" and "Satisfactory" are such broad categories that Employees rely on the comments to understand what their Supervisors think of their performance. If an employee's rating is Unsatisfactory" or "Below", a Remedial Development Plan must be created.

The Employee's signature at Stage B indicates that he/she understands the evaluation and any written comments. The Employee is free to attach comments which indicate whether s/he agrees or disagrees with the ratings.

The Supervisor's signature indicates that all of the appropriate steps have been completed.

The Reviewer's signature indicates that s/he has read the ratings and comments. The Reviewer is free to attach comments which indicate whether s/he agrees or disagrees with the ratings, and a copy of the completed form is then provided to the Employee.

Stage C: Annual Review

The Stage C section of the form is similar to the Stage B section with the important exception of the signatures and comments.

At Stage C, the Supervisor indicates his/her Annual Review Summary Rating, provides comments and signs the form. The Supervisor also completes the last line of the page regarding attendance. Any unusual patterns of attendance or impacts of attendance on performance should be noted.

If the employee received a rating of either "Unsatisfactory" or "Below", the supervisor and employee must jointly develop a Remedial Development Plan.

The Employee then checks off whether he/she agrees or disagrees, adds comments and signs the form to indicate participation in the process.

The Reviewer, taking any disagreements into consideration, makes the final rating, provides comments and signs the form.

The Employee then has an opportunity to agree or disagree with the Reviewer's rating, make final comments and sign the form.

Back of the Form:

On the back of the form, Supervisors record each job duty and its related performance criteria, ratings and comments. How these are written is covered later in this training.

Presentation: Preparing for EPRS

In preparation for EPRS, all Supervisors should do the following:

- **Obtain training**: Consult your supervisor regarding sessions such as these.
- **Review the Supervisor's Manual**: Become very familiar with EPRS as described in the Manual.
- **Speak with your Supervisor**: In addition to serving as Reviewer for your Employees, your Supervisor should share agency and unit goals and objectives, as well as determining your performance objectives.
- **Review Form 30s**: The Form 30s list all the job duties relevant to a particular position. You should make sure that they are up-to-date. For further information about revising them, consult Appendix C of the EPRS Supervisor's Guide. For assistance, contact your Human Resources department.
- **Review existing EPRS forms**: Prior forms may exist for your Employees. The EPRS Coordinator can get you samples of others.

Trainer's note: Ask participants to identify other activities in preparation for EPRS.

Module IV: Selecting and Writing Job Duties

Trainer's note: The following material will review Job Duties and Performance Criteria. It will also introduce participants to the distinction between Task-based and Skill-based Job Duties. Read the explanation of this distinction.

The MPRS was designed with the assumption that managers primarily have large projects for which they are responsible. These projects/initiatives/objectives vary from fiscal year to fiscal year and managers are evaluated on the basis of progress towards completion. These objectives are the driving force behind the selection of priority EPRS job duties for an individual Employee.

EPRS was designed with the assumption that non-managerial Employees have daily tasks to perform which can be observed and measured on a regular basis. Therefore, EPRS duties are based on performing certain tasks.

While using EPRS, many agencies have discovered that the standard duty statement structure for duties is not as useful for professional positions nor for positions where the content of the work changes frequently. For these positions, skill-based duty statements are more appropriate. These highlight the skills which an Employee is expected to apply to his/her responsibilities regardless of the particular assignment. These are also measurable through the development of Performance Criteria.

Presentation: Introduction to Job Duties

- **Purpose**: The purpose of EPRS duty statements is to let Employees know what they are accountable for. The duty statements identify the priority responsibilities for this Employee. The duty statements let the Employee know what is expected of him/her and how the accomplishment of these duties relates to the mission, goal and objectives of the agency.
- **Types**: Experiences with EPRS has indicated that there are two types of duty statements: task-based and skill-based. We will discuss, and have practice writing, both.
- **Identifying Duties**: The EPRS duties should be the subset of those listed on the Form 30 which most closely relate to the agency's current goals and objectives. (If the Form 30 does not reflect reality or does not exist, refer the Supervisor to your personnel and/or labor relations staff.) In selecting the appropriate duties we will consider which are the most important and which are most frequently performed.
- **Common Job Titles**: Given that a large number of people have the same job titles, some agencies have developed standard EPRS duties. This is fine if in fact the standard duties reflect the individual Employee's reality. Another approach is for a master list of well-written duties to be distributed from which Supervisors can select those most appropriate for a particular Employee.
- **Number**: On average, between four and six statements should be written for each position. If you can only think of two or three, you are either missing something or writing them too broadly. If you identify more than six, it becomes difficult to monitor. The four to six duty statements should capture roughly 80% of the Employee's responsibilities.

Presentation and Practice: Making Choices

The first step in writing good duty statements is to select those aspects of the job to highlight. It is not necessary nor appropriate for the EPRS duties to reflect everything an Employee might do in the course of an evaluation year. The Form 30 does that. And the overall EPRS evaluation acknowledges that there are other responsibilities on which an Employee is evaluated.

The 4 to 6 duties selected for EPRS should capture roughly 80% of the Employee's responsibilities. These duties should be selected on the basis of those which are most important and/or most frequently performed.

One indicator of important duties are those which are most closely related to the agency's current priorities. A review of the goals and objectives for the fiscal year, as well as the appropriate manager's MPRS objectives, will assist in the identification.

The most frequently performed duties can be identified through activity reports and time sheets.

The most important and/or most frequently performed duties can also be identified by imagining which duties would have to be covered by someone else if this Employee was out for two weeks. Do not neglect important duties which are only performed in an emergency situation but which you count on this Employee having the ability to perform.

Be sure that your selection of duties is tied to the work which needs to be done and not a tacit evaluation of the Employee. For example, it is tempting to highlight a duty with which any Employee is having difficulty, even if that duty is neither important to the job nor frequently performed. Likewise, do not select a duty merely because an Employee enjoys doing it.

Trainer's Note: Distribute Making Choices case materials (Appendix A) and have participants complete them first individually and then in small groups. Tally the results in the large group and identify the reasons certain choices were made. Highlight that two different Supervisors with the same objectives can differ on which duties are key for the same Employee. There is no right or wrong answer. What is key is that all parties involved understand the duties selected.

Distribute the Making Choices Worksheet for use with their own Employees.

Presentation: Duty Statement Structure

Once the general duty has been identified, it must be translated into the EPRS format. All duty statements follow a similar sentence structure. Over the years, the integrity of this structure has been compromised. "Action Verbs" have become vague, and "Why" is often non-existent. When the appropriate structure is used consistently, it is a key element in making EPRS a useful tool for both the Supervisor and the Employee.

Action Verb:	The skill the Employee is to utilize. "Responsible for..." and "Assists with..." are not skills. "Writes", "counsels" and "cooks" are.
What:	The product the Employee is responsible for contributing to.
How:	The technique, procedure or equipment to be used.
Why:	The relationship between the duty and the agency's mission. If you are unable to identify why a duty is important, then it is not.

Presentation: Task-based vs. Skill-based Duty Statements

Trainer's note: If there are significant numbers of situations in which the standard EPRS duty statements do not serve as appropriate tools for defining and monitoring work, then the following distinctions may be useful. If the standard duty statements are working well, do not introduce this concept.

The MPRS was designed with the assumption that managers primarily have large projects for which they are responsible. These projects/initiatives/objectives vary from fiscal year to fiscal year and managers are evaluated on the basis of progress towards completion. These objectives are the driving force behind the selection of priority EPRS job duties for an individual Employee.

EPRS was designed with the assumption that non-managerial Employees have daily tasks to perform which can be observed and measured on a regular basis. Therefore, EPRS duties are based on performing certain tasks.

While using EPRS, many agencies have discovered that the standard duty statement structure is not as useful for professional positions, nor for positions where the content of the work changes frequently. For these positions, skill-based duty statements are more appropriate. These highlight the skills which an Employee is expected to apply to his/her responsibilities regardless of the particular assignment. These are also measurable through the development of Performance Criteria.

Task-based duties emphasize the "What" of the duty statement while Skill-based duties emphasize the "Action Verb" (or skill) and the "How".

TYPE	KEY RESPONSIBILITY	EXAMPLES
Task-based	**What? Particular product**	**"Evaluate 10-15 applications per quarter."** **"Write and distribute monthly minutes."**
Skill-based	**Action Verb? The skill** **How? The method**	**"Professionally prepare documents for public distribution"** **"Recommend timely and appropriate responses to legal actions."**

Trainer's note: Ask participants to suggest examples of positions or duties for which one or the other type of duty statement seems more appropriate and useful.

Presentation: Tests for a Good Duty Statement

A duty statement might fulfill the requirements of the basic duty statement structure but still not be a well-written duty statement. A quality duty statement is Realistic, Specific and Clear:

Realistic: Does it reflect the reality of what the Employee does?
Given what you know about resources, can this occur as stated?

Specific: Have you identified what is most important to you about this duty?

Clear: Is it understood by you, the Employee and the Reviewer?

Practice: Writing Duty Statements

Trainer's note: Distribute the Writing Job Duties and Performance Criteria case, either Version I or Version II, both found in Appendix A. Have participants make corrections and discuss options in the large group.

Then distribute the Duty Worksheet and have each participant think of one Employee's responsibilities. For the purposes of the exercise, an Employee with whom EPRS has not been done or the one whose duties currently least reflect their actual work would be best. Have participants complete the worksheet individually and then collect samples for the full group to critique.

During both exercises, remind participants that many different wordings are acceptable as long as they follow the guidelines.

Module V: Selecting and Writing Performance Criteria

Trainer's note: The following will review the basics of writing Duty Statements as well as expand upon the use of quality and interpersonal Performance Criteria, two particular areas of confusion.

Presentation: Introduction to Performance Criteria

Performance criteria complete the sentence "Performance is successful if..." The performance criteria define what the Supervisor considers "exceeding" expectations, "meeting" expectations or "satisfactory" performance. They are the key indicators that a Supervisor uses to determine whether or not an Employee is accomplishing his/her duties.

For each duty, 2-4 performance criteria of different types should be identified. They typically expand upon the "How" portion of the duty statement.

When writing criteria, avoid using fixed number targets. Ranges or averages are more appropriate. Remember, the performance criteria define meeting expectations and this is a broad category of behavior. A fixed target can lead you to give an inappropriate rating when it is barely missed or slightly exceeded.

Presentation: Types of Performance Criteria

There are six types of Performance Criteria:

- **Amount**: How much should occur during this time period
- **Time frame**: When or how often
- **Cost**: In dollars or other resources
- **Procedure**: Any existing procedures which are to be followed
- **Quality**: What are the characteristics of a job well done
- **Works with others**: What interpersonal behaviors should be demonstrated

The first four types are relatively easy to apply. Supervisors have more difficulty writing performance criteria regarding Quality and Works with Others. Often they will say these are too subjective. But if you ask "What indicates to you that someone is doing a quality job in performing this duty?" or "What interpersonal behaviors are/are not acceptable in the performance of this duty?" they can answer.

The rule of thumb is this: If you can explicitly name the behavior, if you can give good and bad examples, and if you can evaluate someone's compliance, you can use the behavior as a performance criteria. For example, "Answer telephone professionally and courteously" is acceptable if you explain that the proper greeting is "Hello. Department of XYZ. How may I help you?" Be explicit that "Hi. XYZ," is not acceptable. Monitor calls occasionally to evaluate compliance; do not rely on complaints and compliments; they merely measure the public's assertiveness.

Presentation: Tests for Performance Criteria

The following are five tests for effective performance criteria:

- **Observable**
- **Clear and specific**
- **Realistic**
- **Easy to follow over the year**
- **Similar to that of other Employees who are doing the same work**

The last test is the one which gives people difficulty. It does not mean that Performance Criteria need to be identical for all with the same duty. But it does mean that all of the people reporting to one Supervisor who have the same duty should be evaluated on the basis of similar types of criteria. For example, if "timeliness" is an important Performance Criteria for one Employee it should be important for others with the same Job Duty. How "timely" is defined, however, may vary somewhat depending on the variety of duties of a particular Employee.

Practice: Writing Performance Criteria

Trainer's note: Refer again to Writing Job Duties and Performance Criteria, either Version I or Version II, and have participants practice writing Performance Criteria, either individually or in small groups.

Following discussion and critiquing in the large group, distribute the Performance Criteria worksheet in Appendix A. Have participants complete it for one or more of the duties they wrote earlier. Have participants confer in small groups and then report samples to the full group for critique.

Distribute to participants Sample Job Duties and Performance Criteria from Appendix A for future reference.

Module VI: Monitoring and Evaluating Performance

Presentation: Monitoring Performance

A significant part of normal supervision is monitoring Employee performance. It is important to determine during Stage A how you will know whether or not an Employee is performing satisfactorily, or meeting expectations, on a regular basis. You may choose different methods with different Employees due to factors such as your proximity, the nature of the work product and your mutual preferences. The methods you use may include:

- **Regular individual supervisory meetings.**
- **Regular unit meetings.**
- **Status reports.**
- **Periodic reviews of work product.**
- **Periodic site visits and/or observing Employee at work.**
- **Others?**

Part of the discussion during each Stage's meeting should be regarding the effectiveness of the monitoring methods currently in place.

Trainer's note: Have participants discuss which methods they use and why.

Presentation: Rating Factors

The purpose of the ratings is to compare the Employee's performance to the expectations established when you were writing the job duties and performance criteria.

A number of factors need to be considered in determining appropriate ratings:

Performance Expectations: The key to ratings is whether or not the Employee has satisfied, or met, the performance expectations as defined in the Performance Criteria. In the following section we will take a closer look at the rating definitions.

Supervision/Monitoring needed: All Employees need and deserve supervision. Some need more than others, particularly regarding certain duties. In determining a rating, you should consider where the Employee stands on a continuum from needing constant supervision to requiring minimal monitoring.

Consistent pattern: A rating is a function of the Employee's performance over time. It is not a judgment on the most recent or most memorable performance.

Within the Employee's control: The consistent accomplishment of some duties requires the participation of others or access to equipment which may be outside of the control of the Employee. The Employee should not be penalized if he/she has made an appropriate effort to obtain the needed resources but is unable to fulfill the duty. Likewise, the Employee should not be penalized if a duty is no longer assigned on a regular basis but is still indicated on the EPRS form.

Due to Employee's effort/ability: Just as the Employee should not be penalized for actions which are outside of his/her control, the Employee should not be rewarded for accomplishments outside of his/her effort.

Presentation: The Ratings

Rating System:

An employee is rated twice during the year; once at Progress Review and again at Final Review. The employee's rating is based on performance and how well he or she accomplished each of the job duties outlined at Performance Planning.

There are two different rating systems used for EPRS. One of the rating systems is commonly referred to as the "two word" system. The other rating system is referred to as the "three word" system. Only one of these system applies to an individual employee and that depends on which bargaining unit they are covered under. The table below illustrates which rating system applies to each bargaining unit, as of July 1, 1998.

BARGAINING UNIT	RATING SYSTEM
ALLIANCE	Two Words
COPS (Coalition of Public Safety)	Two Words
MCOFU (Mass. Correction Officers Federated Union)	Three Words
MNA (Mass. Nurses Association)	Three Words
MOSES (Mass. Organization of State Engineers & Scientists)	Two Words
NAGE (National Association of Government Employees)	Three Words

Trainer's note: Review the language of the definitions.

The terms "Unsatisfactory" and "Below" are defined identically. These ratings mean that the employee's performance did not meet the job requirements and the employee failed to meet the criteria and required an extremely high level of supervision. A Remedial Development Plan is implemented for any employee who receives these ratings.

The terms "Satisfactory" and "Meets" are defined identically. These ratings mean that the employee's performance satisfied the job requirements and that the employee performed according to criteria and required the usual amount of supervision. Given how broadly the "Meets" and "Satisfactory" categories are defined, we expect that the vast majority of employees will receive these ratings.

A rating of "Exceeds" indicates that the Employee has consistently performed beyond the normal requirements as specified in the duty and performance criteria. This rating should reflect initiative taken, at the discretion of the Employee, to improve efficiency and/or work products. A rating of "Exceeds" indicates that through the Employee's efforts, results were significantly better than those described by the performance criteria. A rating of "Exceeds" is not given merely for working extra hours or taking on additional duties without regard to the result of these efforts.

Performance Incentive Pilot Program:

Presentation: Overview of the Incentive Pilot Program

This program became effective July 1, 1998 as a result of collective bargaining agreements. It provides any employee covered by NAGE, who attains an overall annual performance rating of "Exceeds", one day off with pay, to be utilized within six (6) months of the receipt of the rating. There is no charge to leave balances for this day.

This was a key management initiative in collective bargaining negotiations to add value to the rating process. Unlike past incentive programs, this module allows for all employees who achieve an "Exceeds" rating, to be granted a bonus without any restrictions created by allocated funds.

Presentation: Rating Issues

There are a few significant issues regarding ratings which must be addressed:

Overall Rating: The overall rating given at Stages B and C is not merely an average of the ratings on the priority job duties. It takes into consideration all assignments given to the Employee during the performance period. It also recognizes that even within the priority job duties, some duties are more significant than others in terms of importance or frequency. It is unusual for an overall rating to be significantly different than the ratings on individual duties. If a Supervisor finds that the overall rating does differ significantly, he/she may wish to review the duties that have been selected for inclusion in the EPRS form.

Performance, Not Personality: The responsibility of the Supervisor is to rate the Employee's performance, not his/her personality. Any reactions or judgments on the part of the Supervisor which do not relate to the Employee's performance are outside the scope of EPRS and of good supervision.

Comments: While Supervisors are not required to write comments for ratings of "Exceeds", "Meets" or "Satisfactory", they are strongly urged to do so. Comments should include specific examples of behaviors which illustrate why you decided on a particular rating. General comments such as "He is a good worker" do not let the Employee know what you do or do not value about his/her work. Comments such as "+" or "-" next to a rating should never be used.

Relation to Progressive Discipline: In all instances, the EPRS form should reflect the reality of the Employee's performance. To the extent that performance is impacted by behavior which is resulting in Progressive Discipline, this should be reflected on the form. Conversely, it would be difficult to support a disciplinary action against an employee for performance issues if the issues were not documented on the EPRS form. In the rare instance where the disciplinary issue does not impact performance, it will not be noted on the form.

Appeals Process: Any Employee who receives an overall final rating of either "Unsatisfactory" or "Below" has the right to appeal this rating. Please refer to the appropriate union contract for specifics. Remember, Employees must be notified that he/she may receive an "Unsatisfactory" or "Below" rating 90 days prior to the Annual Review and a Remedial Development Plan should be implemented.

Practice: Making Rating Decisions

Trainer's note: Distribute the Making Rating Decisions handout, either Version I or Version II, from Appendix A and have participants complete it individually and then discuss it in small groups. Refer them to the Rating Factors, Definitions and Issues previously discussed.

In the large group, discuss any questions or outstanding issues raised. Have participants justify their ratings, noting that it is possible to have a legitimate difference of opinion. What is important is that they are clear about why they make the decisions they make. This is crucial to clearly communicating expectations to the Employee.

Module VII: EPRS Meetings

Trainer's note: Once the technical aspects of EPRS are understood, the most significant determinant of success is the Supervisor's ability to conduct one-on-one supervisory meetings. It is impossible to develop the communication skills necessary for this task within any one training event. It is possible, however, to highlight the steps which must be taken and to introduce some communication tools. Supervisors who want to improve their communication skills might consider attending the "EPRS Communication Skills" training class offered by the Human Resources Division.

Presentation: Preparing for an EPRS meeting

In order for an EPRS meeting to be useful and effective, there are certain actions which must be taken in preparation:

- **Review existing documentation**: Begin with reviewing the Supervisor's manual. For a Stage A meeting, this includes the Form 30, any old EPRS records, and the Agency's and your unit's goals and objectives. For Stages B and C, this includes the current EPRS form, work samples, and any supervisory notes you have taken.
- **Talk with the Reviewer**: Discuss what duties you plan to select or what ratings you plan to give. Try to come to consensus.
- **Schedule the meeting**: Plan a time and location which is convenient for both of you and provides appropriate privacy.
- **Draft the EPRS form**: Do this in pencil or on a separate form. Information you receive from the Employee during the discussion may change your opinion.
- **Outline key points**: It is inappropriate to try to script your entire conversation. Do prepare a list of key points which you will be able to refer to during the meeting.

Trainer's note: Ask participants to suggest other activities in preparation for an EPRS meeting.

Presentation and Practice: Conducting the Meeting

Trainer's note: You have to make a decision here about how to approach this skill development piece. At the minimum, review the Checklist for Performance Meetings in Appendix A. Alternatively, you can use either Version I or Version II of the Making Ratings Decisions case as the basis of a role play. If so, precede it with a discussion of effective communications and feedback. Have participants work in triads taking turns, with one as the Observer using the Observer's Handout in Appendix A.

The two major obstacles Supervisors have in these meetings, once they understand their responsibilities, are how to tell an Employee that s/he is not performing adequately and how to speak with a so-called difficult Employee. The key to success is to stay as focused as possible on the behavior required for satisfactory job performance. You may want to offer separate sessions just on building these skills.

Module VIII: Employee Development Plan

Presentation: Overview of the Employee Development Plan

This aspect of EPRS is frequently ignored but should serve as a primary motivational tool. The Employee Development Plan (EDP) is completed at Stage C and, while it is only done if the Employee so desires, supervisors should encourage employees to use it.

Some supervisors are reluctant to write an Employee Development plan because they assume that an Employee who has an opportunity to develop higher level skills will then request a reclassification.

The Employee Development Plan should be used to allow Employees to obtain training and practice in higher level skills, but the use of such skills should be incidental to his/her current job. For example, the use of the new skills would not be part of the Employee's EPRS duties nor would the Employee have sole responsibility for the accomplishment of these new tasks.

The Employee Development Plan may specify that the Employee will attend formal training. Given time and fiscal constraints this may not always be possible or even necessary, and supervisors can learn about other options for developing their Employees.

Presentation and Practice: EDP Activity Options

There are options other than formal training. They include:

- **Observing others**: Spending time observing someone performing the duty the Employee wishes to master.
- **Assisting on a project team**: One with which the Employee would otherwise not be involved.
- **Coordinate a new initiative**: One with which the Employee would otherwise not be involved.
- **Train others**: To develop presentation and training skills.
- **Conduct research**: To learn about an area of value to the Employee and the agency.
- **Others?**

Trainer's note: Encourage participants to come up with other options. Review the Employee Development Plan in Appendix A. Ask participants who have used the form to share examples.

Module IX: Remedial Development Plan

Presentation: Overview of Remedial Development Plan

A Remedial Development Plan is formulated for an employee who either receives an "Unsatisfactory" or "Below" rating at the Stage B Review, or an "Unsatisfactory" or "Below" rating at the Stage C Review.

The purpose of this plan is to ensure that the employee, the supervisor and the reviewer know specifically what the employee has to do to bring his/her performance up to satisfactory/meets levels.

The key element of the remedial plan for both the Mid-Year Stage B and Annual Stage C Reviews is that the Supervisor and Employee jointly develop action steps that, if successfully completed, will result in a "Satisfactory" or "Meets" rating.

It is imperative that a remedial plan be jointly formulated by the supervisor and an employee who receives an unsatisfactory/below rating o their Mid-Year Stage B Review. In the event that an employee appeals their Annual Stage C rating to the Merit Arbitration Tri-Partite Panel, it can be demonstrated that the agency met its obligation to assist the employee in attaining a "Satisfactory" or "Meets" rating from the Mid-Year Stage B, to the Annual Stage C.

An agency has the responsibility to ensure that an employee has been given the necessary written instructions by their supervisor to attain satisfactory performance levels. The Merit Arbitration Tri-Partite Panel has in the past reversed Annual Stage C "Unsatisfactory" or "Below" ratings and awarded salary rate increases and step rate increases to employees because of the failure of the agency to provide a remedial plan.

Trainer's note: Refer to the Remedial Development Plan form located in Appendix A. Complete the form based on the Remedial Action Case, also found in Appendix A.

Module X: Wrap-up

Trainer's note: Regardless of which of the previous modules you use, it is important to end with a discussion of any outstanding questions and/or obstacles. Ask participants what their thoughts are about EPRS now. Answer any outstanding questions or refer participants to the appropriate resources. Record specific obstacles any agency may face or recommendations they may make and state that you will report these to your agency's Human Resources Manager..

APPENDICES

History of EPRS

- **The Law**

- **The Collective Bargaining Agreements**

  NAGE changes effective July 1, 1998:
  - Three-tiered Rating System
  - Remedial Development Plan
  - Incentive Pilot Program

- **The Bell-Shaped Curve**

- **Uses of EPRS**

- **From Then Until Now**

- **Now**

EPRS: Facts and Fictions

Please read each of the statements below and decide whether it is True or False.

1. It is not possible to receive an "Exceeds" or a "Below" rating.
2. EPRS does not accommodate changes of responsibility mid-year.
3. Attendance problems and other progressive disciplinary issues should be reflected on the EPRS forms.
4. The EPRS form is valid if the employee refuses to sign it.
5. If the duty isn't on the EPRS form, the employee doesn't have to do it.
6. EPRS is used to make a variety of personnel decisions, including promotions.
7. It is acceptable for the supervisor to notify an employee of an EPRS meeting the day of the meeting.
8. You could receive a "Satisfactory" or "Meets" overall final rating and still be on Progressive Discipline.
9. It is not acceptable for a supervisor to hand the employee the EPRS form, and ask for a signature without discussing it.
10. If my supervisor does not like me, my EPRS will reflect this regardless of what my performance is.
11. EPRS will go away soon.
12. EPRS performance criteria detail the standards by which the employee should be performing each duty.

Elements of a Successful EPRS Program

- Receives Executive and Reviewer level support
- Tied to other planning and monitoring tools
- Training provided
- Applied consistently
- Reflects reality
- Monitored appropriately
- No surprises

EPRS Roles and Responsibilities

- Agency Head
- Reviewer
- Supervisor
- Employee

The EPRS Cycle

Stage A: Performance Planning

1. Review the three stages of EPRS
2. Discuss the role of the employee
3. Discuss and write down job duties
4. Discuss and write down performance criteria
5. Sign the form and get signatures

Stage B: Progress Review

1. Meet informally with the employee regularly
2. Begin the mid-year review meeting
3. Discuss and rate performance for each duty
4. Discuss and write down ways to improve performance
5. Discuss and rate overall job performance
6. Update the duties and criteria
7. Sign the form and get signatures
8. Develop Remedial Development Plan if employee rating is "Unsatisfactory" or "Below"

Stage C: Annual Review

1. Begin the Annual Review
2. Discuss and rate performance for each duty
3. Discuss and rate overall job performance
4. Discuss and write down an employee development plan
5. Sign the form and get signatures
6. Develop Remedial Development Plan if employee rating is "Unsatisfactory" or "Below"

The Commonwealth of Massachusetts
EMPLOYEE PERFORMANCE REVIEW FORM

Name: _____ Evaluation Year: _____
Agency: _____ Location/Unit: _____
Job Title: _____ Functional Title: _____
Supervisor: _____ Reviewer: _____

The employee and supervisor should consult their EPRS Guide for a full explanation of the purpose and the process of employee performance review. Detailed instructions for completing this form are presented in the EPRS Supervisor's Guide.

A Performance Planning: Employee and supervisor meet to plan the work for the year

____ Discuss contributing role of employee in unit ____ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current Form 30 and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse may be used if more space is needed.

Signatures: _____ _____ _____
Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

B Progress Review: Employee and supervisor meet to help the employee meet criteria

____ Discuss progress for each duty ____ Assign advisory rating for each duty ___ Assign advisory rating for overall performance

Progress Review Summary Rating: ____ Satisfactory ____ Unsatisfactory*, or
____ Exceeds ____ Meets ____Below* *Create Remedial Development Plan

Supervisor's Comments:

Signatures: _____ _____ _____
Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

C Annual Review: Employee and supervisor meet to evaluate job performance

____ Discuss job performance over whole year _____ Rate performance for entire year for each duty
____ Rate overall performance for entire year _____ Formulate a Development Plan at the option of the employee - Plan attached: ____ yes ____ no

Annual Review Summary Rating: _____ Satisfactory _____ Unsatisfactory*, or
_____ Exceeds _____ Meets _____Below* *Create Remedial Development Plan

Supervisor's comments (explain "unsatisfactory" ratings, unanticipated contributions, areas of improvement and unusual attendance patterns:)

Supervisor: _____
signature/date

Employee: I _____agree _____disagree with this evaluation.
Employee's Comments:

Employee: _____
signature/date

Reviewer's Determination: On the basis of my review I have determined that the employee's rating is: ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ____Meets ____Below

Reviewer's Comments:

Reviewer: _____
signature/date

Employee: I _____agree _____disagree with the reviewer's determination. Employee's final comments:

Employee: _____
signature/date

Attendance: Number of days sick leave used_____ Number of days off the payroll_____ Number of days tardy_____

Primary Job Duties/Performance Criteria

Page ____ of ____

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or ____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or _____ Exceeds _____ Meets _____ Below

Progress Review Comments:

Annual Review Comments:

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or ____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or _____ Exceeds _____ Meets _____ Below

Progress Review Comments:

Annual Review Comments:

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or ____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or _____ Exceeds _____ Meets _____ Below

Progress Review Comments:

Annual Review Comments:

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or ____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or _____ Exceeds _____ Meets _____ Below

Progress Review Comments:

Annual Review Comments:

Preparing for EPRS

- Obtain training
- Review the Supervisor's Manual
- Speak with your Supervisor
- Review Form 30s
- Review existing EPRS forms

Introduction to Job Duties

- Purpose
- Types
- Identifying Duties
- Common Job Titles
- Number

MAKING CHOICES CASE

INSTRUCTIONS:

On your own (5-10 minutes): Read case material (Form 30 and Mission and Objectives and Supervisor's Observations, below) and chose which duties to put on the EPRS form.

In small group (10 minutes): Explore your decisions, come to consensus.

In large group (10 minutes): Tally group votes, give reasons for choices.

Agency Mission

To issue licenses to retailers in the Commonwealth...

Relevant Agency Objectives for the Year

To revise information brochure for prospective retailers so that application procedures are clear.

Relevant Work Unit Objectives for the Year

To monitor requests for information from prospective retailers and number and type of incomplete applications received to provide input for information brochure.

Supervisor's Observations

Barbara Collins is a Typist II at the Retail Licensing Board. Her primary responsibility is to begin the processing of incoming applications. She logs them, checks them for completeness, sends them back or calls the applicant if the application is incomplete (which it usually is), and passes completed applications on to the Board.

Since the beginning of the evaluation year, Barbara has added a new step to her process, tracking errors in applications to provide data for the new applicant brochure, which, it is hoped, will result in fewer incomplete applications. She has developed a computer database for tracking purposes and spends a lot of time maintaining it, refining it and generating weekly reports. You appreciate her good work, but find that she gets overly involved and spends too much time on it; a monthly report would be fine.

After the Board has decided on the applications, they then come back to Barbara, who date stamps them and forwards them to the local board. Barbara also gives applicants information about the status of their application over the phone. You have noticed that occasionally she be extremely curt.

Barbara covers for the receptionist for one lunch hour per week. She is uncomfortable acting as receptionist, complains about having to do this duty, and is not effective in her coverage.

MAKING CHOICES WORKSHEET

Assemble information about the employee's job from sources such as your observations of their work, their input, previous EPRS forms, the Form 30, a time/task analysis, the agency/work unit goals and objectives.

Ask yourself questions leading you to the most important and/or the most frequently done duties. Some examples are:

- If this person were out for a week, what duties would you have to have covered in order to operate well?
- How much time does the employee spend on this duty?
- What does the employee do that supports the work unit/agency objectives?
- What duty if not done or not done well would hold up other people's work?
- Other questions:

Based on your answers, list the most important/most frequent done duties:

Duty Statement Worksheet

eral statement of duty:

_____

_____

_____

_____

Which is more appropriate for this duty: a **Task-based** statement or a **Skill-based** statement?

Action Verb identifying the skill to be used:

What product the employee is responsible for or contributing to:

How the skill is to be executed:

y the duty is a priority:

Complete duty statement in sentence form:

_____

_____

_____

_____

Is the statement **realistic**, **specific** and **clear**?

Duty Statement Syntax

- Action Verb
- What
- How
- Why

Tests for a Good Duty Statement

- Realistic
- Specific
- Clear

Task-based vs. Skill-based Job Duty Statements

TYPE	RESPONSIBILITY	EXAMPLES
Task-based	What? Particular product	"Evaluate 10-15 applications per quarter" "Write and distribute monthly minutes."
Skill-based	Action Verb? The skill	"Professionally prepare documents for distribution."
	How? The method	"Recommend timely and appropriate responses to legal actions."

Types of Performance Criteria

- Amount
- Time frame
- Cost
- Procedure
- Quality
- Works with Others

Tests for Performance Criteria

- Observable
- Clear and specific
- Realistic
- Easy to follow over the year
- Similar to that of other employees who are doing the same work

PERFORMANCE CRITERIA WORKSHEET

Quality: What are the characteristics of a job well done? Describe them:

_____
_____
_____

With this information in mind, complete the sentence, **"Performance is successful if..."**

_____
_____
_____

Amount: When the duty is well-performed how many/much would be produced?

_____
_____
_____

Complete the sentence, **"Performance is successful if..."**

_____
_____
_____

Time: When the duty is performed in a timely manner, how long does it take, or how often is it done?

_____
_____

Complete the sentence, **"Performance is successful if..."**

_____
_____
_____

Cost: When the duty is performed cost-efficiently, how do you know?

_____
_____
_____

Complete the sentence, **"Performance is successful if..."**

_____
_____
_____

Interpersonal (works with others): If a duty has an impact on other people, when the duty is well-performed, how do you know?

_____
_____
_____

Complete the sentence, **"Performance is successful if...."**

_____
_____
_____

Procedure: What procedures are followed when a duty is well-performed?

_____
_____
_____

Complete the sentence, **"Performance is successful if...."**

_____
_____
_____

TEST FOR GOOD CRITERIA STATEMENTS:

Are the criteria realistic; that is, consistent with past practice and observable?

Are the criteria specific?

Are there more than one criteria listed for each duty?

Are the criteria clear/understandable to you and the employee?

Are the criteria fair; similar to those performing the same job duties and within the employee's control?

Implications for ratings: The "Meets" or "Satisfactory" rating is defined by the performance criteria. Write examples of job performance which fall **outside** this range.

Below/Unsatisfactory:_____
_____
_____
_____
_____

Exceeds:_____
_____
_____
_____
_____

Sample Job Duties and Performance Criteria

ACCOUNTANT:

Maintains financial data on the bottle bill using MS Excel so that accurate reports can be produced when requested.

- Information is entered monthly. (Time)
- Information is accurate when extracted. (Quality)

Prepares automatic accounting transactions using standard forms and entry procedures so that data can be processed on mainframe.

- Few rejected items. (Quality)
- Uses MMARS easily. (Procedure)

CLERK:

Types (or wp) material from rough draft according to standard format in order to produce finished product in final form.

- Copy is neat, accurate, in proper format. (Quality, Procedure)
- Copy is completed within prescribed deadline. (Time)

BAD EXAMPLE:

Answering phones, taking messages, directing calls.

- Twenty requests for information are handled each day. (Amount) **out of employee's control**
- Phone is always answered on the first ring. (Time, Quality) **unrealistic**
- Courteous. (Interpersonal) **possibly unclear, unspecified**

LABORER:

Sweeps, collects and removes rubbish from roadways, sidewalks, building and grounds with brooms, shovels and packer truck so that areas are clean and safely maintained.

- Designated area is free of rubbish. (Quality)
- Packer truck is driven following traffic safety procedures. (Procedure)
- Instructions are followed. (Procedure, Interpersonal)

Removes snow and ice from sidewalks and roadways

- Roads are passable, safe. (Quality)
- Plows/sanders driven safely. (Procedure)
- Area is sanded and slated within 5 hours of end of storm. (Time)
- Instructions are followed. (Interpersonal)

NURSE:

Works to provide quality patient care through assisting in development of care plan, providing treatment and medication, and by monitoring patient to aid in rehabilitation.

- Treatments and medications are administered and documented accurately and conscientiously by following appropriate nursing procedures. (Procedure, Quality)
- Patients' responses to interventions are observed and documented through accurate and legible daily shift notes. (Quality, Time)

Supports patient and staff safety by following department policies and procedures to guard against injury.

- Problems are reported to immediate supervisor in a timely fashion. (Time)
- Staff is assisted appropriately during emergency conditions. (Procedure)

MARINE BIOLOGIST:

Surveys literature by scanning scientific journals at libraries in order to obtain most recent information available on current research topics.

- Transcription, quoting and interpretation of material is accurate. (Quality)
- Literature search is comprehensive. (Quality)
- Task is accomplished within prescribed deadline. (Time)

Collects/codes lobster biological information from sampling region by monitoring catches aboard commercial vessels in order to assess the health of lobster resources.

- Data are collected according to survey methodology. (Procedure)
- Trips are scheduled as early as possible each month, preferably within the first two weeks. (Time)
- Good rapport is maintained with commercial lobstermen. (Interpersonal)

SOCIAL WORKER:

Writes assessments on new cases following agency protocol in accordance with the agency's policy to determine intervention needed to address problems.

- Meetings with clients and collaterals have occurred. (Procedure)
- All needed social, family, medical, legal and financial information has been obtained, with unsuccessful attempts to obtain information noted. (Procedure, Quality, Interpersonal)

Maintains client/collateral contacts in accordance with service plan to ensure effective intervention.

- Home visits take place a minimum of once per month. (Time)
- Relationships with clients/collaterals enable constructive change and achieve service planning goals. (Interpersonal)
- Judicial, court and school personnel are contacted as required. (Procedure)

STOREKEEPER:

Maintains records of items received and issued by including description of quantity, type and other identifying information so that inventory records are accurate.

- Records kept up to date. (Quality, Time)
- Supplies, materials properly identified. (Quality)
- Supplies are located as indicated on record. (Quality)

Maintains liaison with vendors by phone in order to exchange information and resolve problems.

- Vendors are contacted regularly. (Time)
- Agency standards are communicated accurately. (Quality, Procedure)
- Good rapport is established with vendors. (Interpersonal)

Monitoring Performance

- Regular individual supervisory meetings
- Regular unit meetings
- Status reports
- Periodic reviews of work product
- Periodic site visits and/or observing employee
- Others?

Rating Factors

- Performance Expectations
- Supervision/Monitoring needed
- Consistent pattern
- Within the Employee's control
- Due to Employee's effort/ability

Rating Definitions

"Satisfactory"/ "Meets"

The Employee:

- *met or exceeded job performance expectations*
- *accomplished duties based on their own abilities and efforts*
- *needed usual amount of supervision*

"Unsatisfactory"/ "Below"

The Employee:

- *failed to meet job performance expectations*
- *lacked the ability or effort to accomplish job duties*
- *required a high level of supervision*

"Exceeds"

The Employee:

- *greatly exceeded job performance expectations*
- *performed well beyond required job duties*
- *required less than usual supervision*

Rating Issues

- Overall Rating
- Performance, not Personality
- Comments
- Relation to Progressive Discipline
- Appeals Process
- Remedial Development Plan

Making Rating Decisions
Version I

Pat Booker - Accountant II

This meeting is the first monthly informal Progress Review meeting Pat and Pat's supervisor scheduled after they discussed and wrote down job duties. The Performance Planning meeting went okay. Although Pat wasn't excited about it, they both came to an understanding on duties and criteria. Pat signed the form without writing comments and the reviewer approved them. They both have had some difficulties in the past talking about Pat's performance, so they were happy to have gotten through Stage A.

Over the past month, Pat had done a very good job at keeping the accounts up-to-date. The Department of Corrections had a very complex problem with one whole division regarding changes in insurance coverage. Pat reviewed the papers and worked very closely with the new personnel officer over there to get it all straightened out. Pat's solution to the problem will be very helpful to other accountants who will have the same problem with their agencies soon.

Pat's supervisor did not note any change in the time it took to complete the audits this month. The supervisor thinks if Pat could get some training on the new computer, it will improve things. (The Department has all its personnel records on a computer. Pat has not learned to use it very well.)

There have been some problems with Pat's dealing with some of the staff in the agencies who are responsible for payroll deductions. Pat's supervisor received complaints from and A & F agency just yesterday that Pat is brusque, seemed reluctant to explain procedures and does not always respond quickly to telephone messages. On the other hand, the personnel officer of the Department of Correction was very happy with the help that Pat gave her. In all other ways, Pat's supervisor is pleased with the timeliness and especially the accuracy of Pat's work.

<u>Supervisor's Notes for Informal Progress Review Meeting.</u>

What ratings would you give Pat on each duty? Why?

What ratings would you give Pat overall? Why?

What comments would you write?

What changes would you make on the form for the future?

Making Rating Decisions
Version II

Pat Booker - Environmental Engineer III

It is time for Pat's Stage B Progress Review.

The stage A Performance Planning meeting went okay. Their Supervisor and Pat had not previously spent much time discussing Pat's overall responsibilities. Although neither of them were excited about it, they were able to come to an understanding on duties and criteria. Pat signed the form without writing comments and the Reviewer approved them.

Since Stage A, the Supervisor and Pat have met periodically about specific problems or issues. They have not met to review Pat's overall progress on the duties and criteria.

In preparation for Stage B, the Supervisor is aware of the following:

- Reviewing the last six monthly reports indicates that the 14 day deadline for submitting licenses for signature was met 83% of the time and the one week deadline for jurisdictional determinations was met 90% of the time. Only 3% of jurisdictional determinations made required a superseding determination by the Supervisor.
- No complaints have been received regarding phone messages and the Supervisor has overheard numerous conversations in which Pat was extremely helpful.
- The letters the Supervisor has seen have been well written but no statistics exist on response time.
- Four months ago, staffing changes resulted in Pat beginning to supervise a Clerk II.
- Two months ago, Pat applied for and did not receive an in-house promotion to Environmental Engineer V. Since then, this usually enthusiastic and self-motivated employee has seemed demoralized.

<u>Supervisor's Notes for Stage B Meeting</u>

What rating would you give Pat on each duty? Why?

What rating would you give Pat overall? Why?

What comments would you write?

What changes would you make on the form for the future?

Preparing for an EPRS meeting

- Review existing documentation
- Talk with the Reviewer
- Schedule the meeting
- Draft the EPRS form
- Outline key points

CHECKLIST FOR PERFORMANCE MEETINGS

1. PREPARE FOR THE REVIEW (Progress & Annual)

- Prepare an agenda.
- Gather documents.
- Review the employee's performance and gather your own thoughts.
- Use the preparation sheet.

2. BEGIN THE REVIEW (Progress & Annual)

- Explain the purpose and importance of the meeting.
- Review the agenda for the meeting.
- Highlight the procedure for the session and check for understanding.

3. DISCUSS AND RATE PERFORMANCE FOR EACH DUTY (Progress & Annual)

- Cover all the information: the job duties, criteria for those duties, and how you see the employee performing those duties.
- Seek participation.
- Build on useful suggestions.
- Look for mutual agreements when possible.

4. DISCUSS AND WRITE DOWN WAYS TO IMPROVE PERFORMANCE (Progress & Annual)

- Seek suggestions and alternatives.
- Encourage participation.
- Build on useful suggestions.
- Look for mutual agreements when possible.
- Prepare a Remedial Development Plan if the EPRS rating is "Below" or "Unsatisfactory", in order to bring the employee's performance up to "Satisfactory"/"Meets" level.

5. DISCUSS AND RATE OVERALL PERFORMANCE (Progress & Annual)

- Encourage participation.
- Be concise and clear.
- Discuss your rating with the employee.
- Check for understanding.

6. UPDATE DUTIES AND CRITERIA (Progress Review)

- Cover all known information.
- Seek participation.
- Clarify specific changes.
- Detail responsibilities.
- Check for understanding.

7. DISCUSS AND WRITE DOWN AN EMPLOYMENT DEVELOPMENT PLAN AT THE EMPLOYEE'S REQUEST (Annual Review)

- Discuss benefits of a plan.
- Encourage discussion about types of development activities.
- Review the employee's goals.
- listen and clarify for understanding why the employee wants a plan, if applicable.

8. SIGN THE FORM (Progress & Annual)

- Explain what the signatures mean.
- Spell out next steps and set follow-up dates.
- Summarize the session.
- Refocus on the positive.

OBSERVER'S HANDOUT

A. Look for and write down specific statements that point out the following:

1. The supervisor is using the keys to good feedback (describe the situation, state what the supervisor saw or heard, describe how the supervisor reacts to what the employee did):

2. The supervisor is:
   a) being clear
   b) being specific
   c) describing - not interpreting
   d) suggesting ways the employee could do it differently

3. The supervisor asks appropriate questions for clarification, information and to check for understanding:

B. Was there a specific turning point in this discussion? If so, what was it?

C. What do you think will be the result of this meeting? Is it the intended result?

EDP Activity Options

(Employee Development Plan)

- **Observing others**
- **Assisting on a project team**
- **Coordinate a new initiative**
- **Train others**
- **Conduct research**
- **Others?**

EMPLOYEE DEVELOPMENT PLAN

Name:_____ Supervisor:_____
Agency:_____ Location:_____
Position:_____
Evaluation Year:_____ Date:_____

Goals: (what the employee is working to accomplish)

-
-
-
-

Plan:

DEVELOPMENT ACTIVITY (Which development activity will be done)	LOCATION (Where development activity will be done)	PLANNED DATE(S) (When will development activity begin and end)

Employee Comments:

_____ _____
Employee's Signature Date

Supervisor's Comments:

_____ _____
Supervisor's Signature Date

Reviewer's Comments:

_____ _____
Reviewer's Signature Date

EMPLOYEE PERFORMANCE REVIEW SYSTEM
REMEDIAL DEVELOPMENT PLAN

Employee Name:_____ Supervisor:_____

Agency:_____ Location:_____

Position:_____

Evaluation Year:__FY_____ Date of Plan:_____ Plan Effective as of:_____

Part I

Remedial Action Plan

It is anticipated that the above named employee will receive a rating of "Below"/"Unsatisfactory" at ____Stage B ____Stage C.

In order to attain a "Meets"/"Satisfactory" rating at the next performance review meeting, the employee must:
(List specific actions that the employee must take in order to attain a "Satisfactory" or "Meets"/"Exceeds" rating. List the criteria that will measure the progress of each specific action.)

- **Action:**

  Criteria:

- **Action:**

  Criteria:

- **Action:**

  Criteria:

- **Action:**

  Criteria:

The success of this plan will be reviewed every thirty (30) days, until a rating of "Satisfactory" or "Meets"/"Exceeds" is achieved.
The date of the next review has been scheduled for:____/____/____ (no more than 30 days from the Date of Plan).

_____ _____ _____
Employee Signature/Date Supervisor Signature/Date Reviewer Signature/Date

Part II (Completed up to 30 days after the RDP was implemented)

Evaluation of the Remedial Development Plan

Employee ____did ____did not receive a rating of "Meets"/"Satisfactory".

____The Remedial Development Plan was successful.
____The Employee needs to continue with the Remedial Development Plan until the time of the next review (no later than 30 days).

_____ _____ _____
Employee Signature/Date Supervisor Signature/Date Reviewer Signature/Date

REMEDIAL ACTION CASE STUDY

Jay Johnson is an employee with the Department and Robert Glass is Jay's supervisor. Jay's job duties require him to drive a state vehicle for most of the day, picking up clients and driving them to certain locations. There have been numerous complaints from clients that Jay tends to drive too fast and recklessly. Clients say that Jay is always friendly and helpful, but his driving makes them very nervous. Out of concern for the safety of both the clients and Jay, Robert scheduled a meeting with Jay to address this issue.

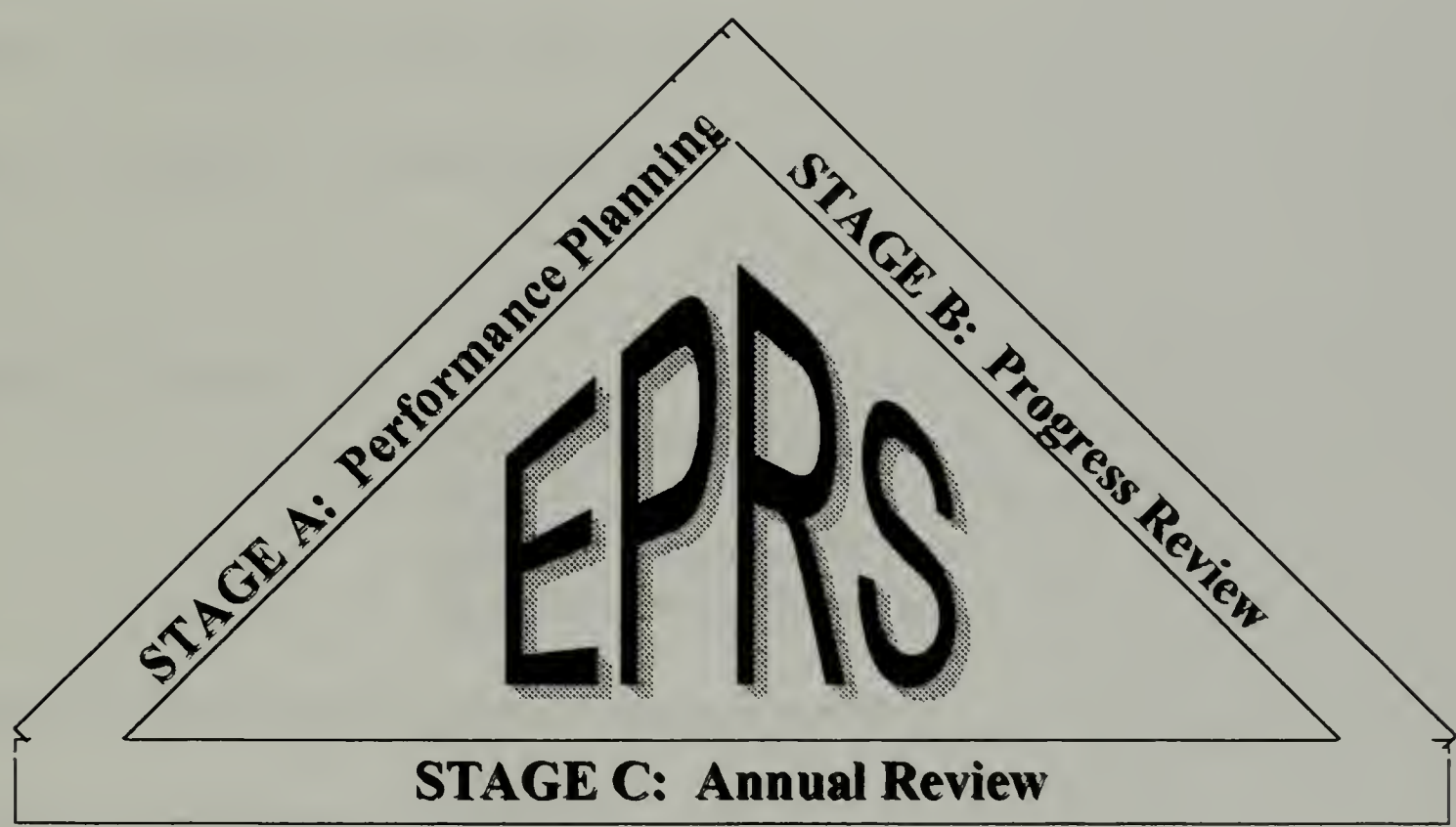
At the meeting, Robert discussed the clients' concerns, as well as his own. Robert also mentioned that, despite Jay's fast driving, Robert has noticed that he is very rarely able to stay on schedule. Each day, Jay's driving schedule is off by at least a half hour and clients sometimes comment on being late for appointments due to his late arrival. Robert stressed the fact that it is imperative to allow yourself enough time to get from one location to another, taking into consideration the distance and potential traffic, so that the daily schedule can be kept running smoothly. If this quality of job performance continues, Jay was told that he will receive a "Below" rating at the Stage B Progress Review. In order to keep that from happening, Robert sits down with Jay and creates a Remedial Development Plan.

Instructions:

Pair up with one other student in the class. One person will play the role of the supervisor and the other will play the role of the employee. Take fifteen minutes to role play an actual meeting, discussing the issues at hand. Jointly create a Remedial Development Plan. The "supervisor" should complete the form as if it was a meeting with one of their actual employees.

The Commonwealth of Massachusetts
Employee Performance Review System

(for All Employees Except Those Covered by the State Association of Massachusetts)



A Supervisor's Guide
July, 1998

TABLE OF CONTENTS

Introduction
Employee Performance Review System

Purpose

EPRS is a program to improve productivity by increasing communication between employees and supervisors. EPRS helps employees know what is expected of them on the job, how supervisors will evaluate their job performance and how the successful performance of the employee's duties will contribute toward the agency's accomplishing its mission and goals. The EPRS evaluations will help managers make decisions about: salary and step increases, employee development needs, promotions, transfers, discipline, and other personnel actions.

The Guide

This **Guide** is for **you**, the supervisor. It describes the procedures and policies you need to know for EPRS. The **Guide** gives a step-by-step description of the three stages of EPRS. It tells you how to prepare for each stage and it helps you conduct the employee meetings required in EPRS.

What is EPRS?

EPRS is used by supervisors and employees to plan and to evaluate employee job performance. EPRS increases communication between the supervisor and employee all during the year. Every employee is evaluated at least once per year and no more than twice per year. Each evaluation is made up of three separate stages. The evaluation is finished only after all of the stages have been completed.

The Three Stages of EPRS

Stage A. **Performance Planning** happens at the beginning of each evaluation year. This is when you and the employee meet to discuss what the job duties are for the position and what you mean by performing these duties successfully.

Stage B. **Progress Review** happens several times during the year. You and the employee meet in short, **regular**, **scheduled** informal review sessions to see how things are going. Halfway through the year you meet with the employee for a formal Progress Review. At this meeting, you give the employee an **advisory rating** on performance thus far. Together you look for ways to improve performance, if needed. The informal review sessions continue until the end of the year.

Stage C. **Annual Review** is the final stage, and happens just before the end of the evaluation year. You and the employee review and evaluate his or her performance over the entire year. Then you rate the employee's performance. If the employee wants to, you jointly write a development plan for the next year. Shortly after this meeting, you meet with the employee to plan for next year's evaluation.

Why do EPRS?

Employee performance evaluation is required by Massachusetts Law. The method for doing the evaluation was developed and negotiated through Collective Bargaining with the Unions.

Evaluation of employee performance is important for many reasons:

- Employee performance evaluation provides a way for employees, supervisors and managers to see how, and ensure that, they are helping to achieve agency goals and objectives.

- EPRS lets managers and supervisors see how productive their employees are in carrying out their job duties.

- EPRS helps employees know clearly what their job duties are and what their supervisors expect from them.

EPRS was designed so each employee will know:

- How his or her job fits into the agency's mission, goals and objectives
- What you expect from the employee on the job
- How you will determine if he or she is successful
- What you think of his or her job performance
- What things he or she may need or want to do to improve job performance

How will the evaluation be used?

After the final evaluation is completed, the signed form becomes part of the employee's permanent personnel record. The agency may use this performance evaluation when making personnel decisions about the employee. The evaluation should be *only one* of the things considered. Collective bargaining agreements should be followed carefully when making these decisions.

Your agency might use the performance evaluation when:

- Deciding if an employee will get a step raise and/or salary increase
- Taking disciplinary actions
- Making decisions about promotion and job assignment
- Determining necessary job training or development
- Determining if an employee is eligible for the Performance Incentive (NAGE CBA's)

Who takes part in EPRS?

Almost everyone in your department has a role in EPRS.

- **Supervisor** - Each employee will be evaluated by his or her immediate supervisor. You are the immediate supervisor if all or most of these are true:

- You assign work to the employee and change work assignment, when needed.
- You review the employee's work, and make changes or return the work to the employee for revision, if needed.
- You approve weekly time and sick leave use for the employee.
- You recommend discipline, if and when needed.
- You handle the employee's complaints.
- Your position is listed in Section 4 of the employee's official position description (HRD Form 30).

o **Reviewer** - After you have finished the evaluations for the employee, **your** supervisor or a higher level supervisor reviews them. The reviewer determines the final rating and may write comments about the employee's performance.

o **Employee** - The employee is the person being evaluated.

You may have more than one role. To some employees you are the **supervisor**, and you will evaluate those employees. If you are not a manager, you are an **employee** who will be evaluated by your supervisor. Finally, you might be the **reviewer** for supervisors who report to you.

How are employees rated?

Employees are rated on how well they do their jobs.

To do this, you look at what the employee does, and how it is done. You compare this with what you and the employee discussed during Stage A. Then you rate the job performance by using the rating scale below.

You rate the performance on each job duty. Then you rate the employee's **overall** job performance. Depending on which collective bargaining agreement an employee is covered by, the rating scale is either "satisfactory/unsatisfactory" or "exceeds/meets/ below expectations."

Rating Scales

Here is the scale you will use to rate job performance on each duty and on overall job performance for employees covered by the two tiered rating scale. This scale must be used with the employee's EPRS form. The criteria for getting a "satisfactory" will be written on the EPRS form for each job duty. Even with all this, you will have to use your judgment in making the ratings.

Satisfactory:
Performance satisfies or exceeds the job requirements. Generally the employee performs according to the criteria, doing a **good, or better job**. The employee is at least doing the job at the level expected for employees in this position. The good performance is due to the employee's own effort and ability. Usual or minimal levels of supervision are needed. The employee may make a strong contribution to meeting the work group's goals. A large number of employees will fall in this category. This rating includes a **broad range** of performance, from just **barely satisfactory** to **highly satisfactory**.

Unsatisfactory:
Performance generally fails to meet criteria or requires extremely high levels of supervision. The employee is not doing the job at the level expected. Unsuccessful job performance is due to the employee's own lack of effort or ability. The employee's performance may hurt the performance of the work group, overall. The employee's performance is **unsatisfactory**.

Here is the scale you will use to rate job performance on one duty or on overall job performance for employees covered by CBA's that have three tiered rating scale. This scale must be used with the employee's EPRS form. The criteria for getting a "meets" will be written on the back of the EPRS form for each job duty. Even with all this, you will have to use your judgment in making the ratings.

Exceeds

Performance is greatly above the job requirements. Generally the employee goes well beyond the performance criteria, doing **outstanding** work. Job performance is excellent, and above and beyond what is expected of employees in this job. The employee requires less than usual supervision. Performance that exceeds criteria is due to the effort and ability of the employee. Any performance "below criteria" is minor or due to events not under the control of the employee. The employee's performance may have an important positive effect on how well the work group does, overall. The employee's performance is **superior**.

Meets

Performance satisfies the job requirements. Generally the employee performs according to the criteria, doing **a good job**. The employee is doing the job at the level expected for employees in this position. The good performance is due to the employee's own effort and ability. Usual levels of supervision are needed. The employee may make a strong contribution to meeting the work group's goals. A large number of employees will fall in this category. This rating includes a **broad range** of performance, from just **barely satisfactory** to **highly satisfactory**.

Below

Performance generally fails to meet criteria or requires extremely high levels of supervision. The employee is not doing the job at the level expected. Unsuccessful job performance is due to the employee's own lack of effort or ability. The employee's performance may hurt the performance of the work group, overall. The employee's performance is **unsatisfactory**.

When you rate performance on one job duty, consider the criteria listed on the EPRS form for that duty.

The **overall** rating should <u>not</u> be a simple average of the ratings of the duties. Think about **all** of the duties assigned during the year. Some duties are more important and done more often than others. These duties should be considered more in the overall rating. Also, in very unusual cases, there may be employees who are rated "satisfactory" or "unsatisfactory" because of performance of duties not listed on the EPRS form. This may happen if an employee does something very

unusual. The overall rating should give your **bottom-line** evaluation of the employee's total work this year.

What if the employee doesn't agree with the evaluation?

At the end of each stage of EPRS you and the employee and the reviewer sign the evaluation form for that stage. Each of you may comment on what has happened and attach the comments to the EPRS form. In addition to attaching comments, if the employee doesn't agree with the evaluation, he/she may check off the box on the form which indicates that he/she does not agree with the evaluation. The employee's signature alone does not indicate agreement with the evaluation, only that the employee has received the evaluation.

It should be noted that after reviewing the evaluation with his/her supervisor, the employee has two days to review the evaluation prior to signing it. Likewise, the employee shall have two days to review the reviewer's comments before signing the form.

After the final evaluation, the employee may **appeal** the ratings.

- In accordance with the various collective bargaining agreements, an employee who receives a final overall rating of "unsatisfactory" or "below" may initiate an appeal of such rating at a Merit Arbitration Panel consisting of one person designated by the Union, one person designated by the Personnel Administrator, and one person designated by the Chairperson of the Board of Conciliation and Arbitration. Any such appeal must be filed by the Union, to the Human Resources Division within twenty-one (21) days of the employee's receiving the "unsatisfactory" or "below" rating.

- Employees with Civil Service status may appeal to the Civil Service Commission.

Employees with Civil Service status must choose to appeal either through the Civil Service Commission or through the collective bargaining process. Employees may not appeal both ways.

Evaluation and Progressive Discipline

EPRS does not substitute for traditional progressive discipline. Progressive discipline may be started at any time during the evaluation year. Usually, performance problems that might result in progressive discipline are seen well before the final evaluation. So, a supervisor or manager should not wait for the mid-year or annual review to begin progressive discipline. Also, ratings or comments presented through the EPRS should be consistent with performance information presented through the progressive disciplinary process.

It is important to talk to the employee as soon as you notice a performance problem. Before you give an "unsatisfactory" or "below" rating for a job duty, you should give the

employee a reasonable chance to improve his or her performance.

How do supervisors prepare for EPRS?

Supervisors and managers who are involved in EPRS will be given this **Guide** and will be trained to conduct the evaluations.

1. Training

Two types of training programs are available to help agency supervisors prepare for the performance evaluation system. The first, for agency trainers and EPRS coordinators, will be sponsored by the Human Resources Division. The second, for agency supervisors, will be run by the agency trainers. In each session participants will go through the steps involved in the EPRS. At the training sessions, the trainer will:

- Explain the steps involved in each Stage of the EPRS cycle.
- Give you instruction in, and examples of, how to complete the EPRS form.
- Review some of the things you need to know before you meet with the employees.
- Answer your questions.

2. The Guide

The Human Resources Division, with the assistance of several agencies and Unions, has developed this **Guide** to help you use EPRS successfully.

The **Guide** will take you step-by-step through the three stages of evaluation system and will explain:

- Why you do each of the stages.
- What you need to do at each stage.
- How to prepare for each stage.
- How to finish each stage and get ready for the next.
- How to keep a record of what you've done.

You should take this **Guide** to the training sessions and keep any notes about performance evaluation with it. Use the **Guide** to help you prepare for the different employee meetings.

It's time to start !!!!!

For many of you, performance evaluation is new. You may never have been asked to evaluate the employees that you supervise. If you are doing evaluations now, it is possible that you never have had any training in how to evaluate. This **Guide** and the EPRS training sessions are designed to help you. Please use them.

Most people are nervous about evaluating other employees. That is natural. This **Guide**

will help. It lets you know the process for evaluating people, and gives ideas on how to make this a little easier. You may want to keep these things in mind:

1. Performance evaluation is a series of pictures of how the employee is doing his or her job.

2. Performance evaluation does not take the place of progressive discipline. You should continue to follow the process for disciplining an employee at any time that it is necessary.

3. If you take the short amount of time needed to do regular progress reviews during the year, you will be better prepared to make the advisory ratings at the mid-year Progress Review and the final ratings at the Annual Review. Also, regular progress reviews give you an increased opportunity to alert an employee to any performance problems you have identified, and to help the employee successfully address the issue prior to the next formal progress review or annual review.

4. If you use the EPRS system effectively, both you and the employee will find it easier to work well together. You will both have the good feeling that comes from knowing that the right work is getting done and is getting done right.

Good luck!

Definitions for EPRS

Before you begin, it is important that both you and the employee understand the language of EPRS.

Main Job Duties

Job duties describe the "what", "how" and "why" of work assignments. The main job duties are those duties which are most frequently performed and are most important for this year.

Performance Criteria

Performance criteria describe what the supervisor and the employee mean when they say that a job duty is done right. The performance criteria will be used when it is time to review actual job performance.

Progress Reviews

Informal -- Informal progress reviews are short meetings **held regularly** with the employee to look at what is working and where there are problems in getting the work done.

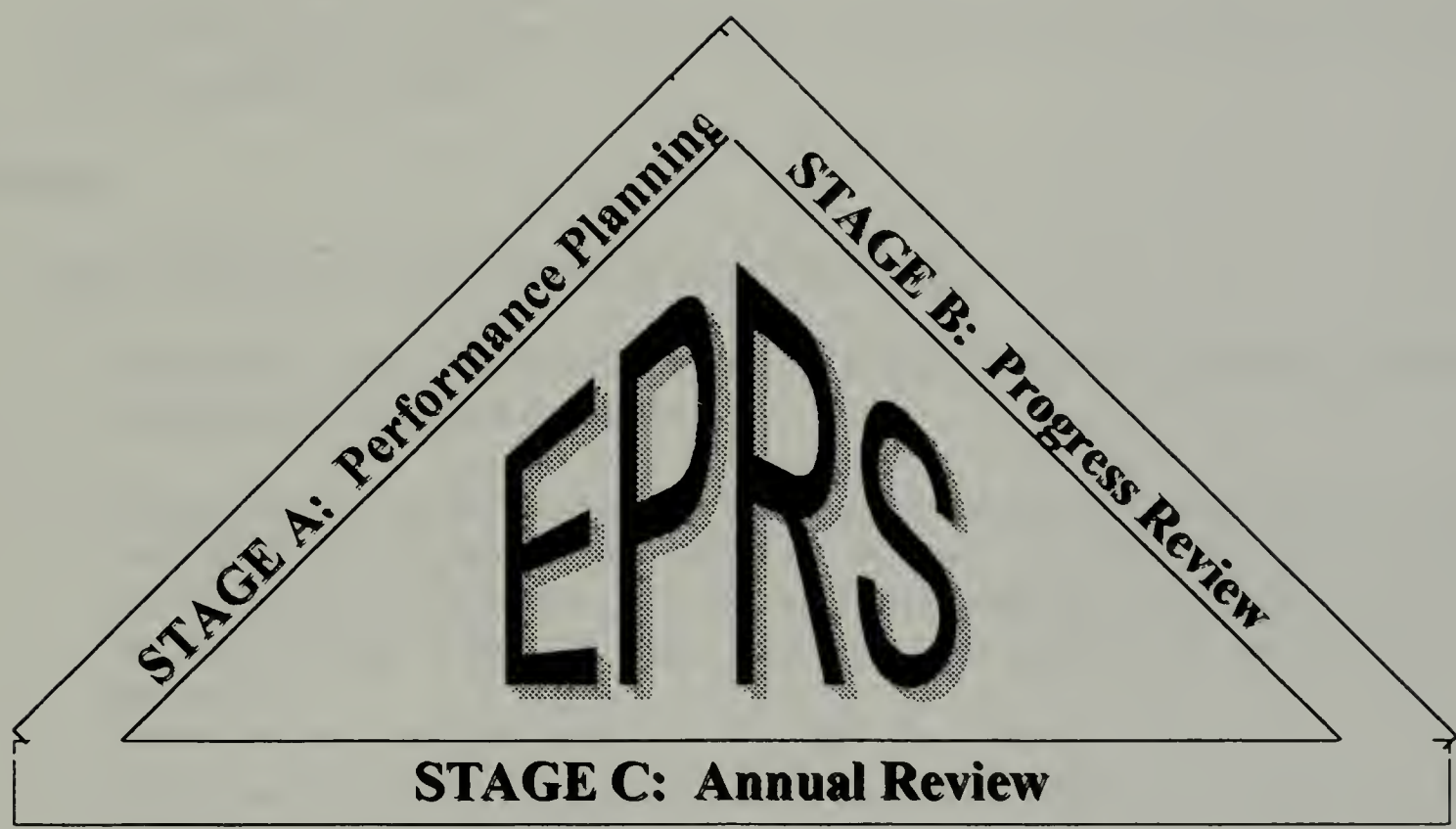
Formal -- One formal Mid-Year Progress Review meeting is required by EPRS. The purpose of this meeting is to point out good work as well as to address problem areas of performance. Where there are problems, the supervisor will help the employee to look at how to do the work successfully. At this time the supervisor goes over the work with the employee and rates performance on each duty and rates overall job performance.

Advisory Ratings

The mid-year ratings are called Advisory Ratings. These mid-year ratings **are not** the final ratings. They just let the employee know how he or she is doing so far. The final ratings come at the end of the year.

Annual Review

At the end of the year, the supervisor and the employee meet to discuss and rate the employee's job performance over the whole year. Then the reviewer makes the final rating. These ratings may be used as the basis for personnel decisions such as salary and step increases, promotions, transfers and reassignments, and eligibility for incentives.



CHAPTER 1

Stage A: Performance Planning

Chapter 1
Stage A: Performance Planning

Purpose

In the Performance Planning Stage you and the employee jointly define successful job performance for the employee. In this way, the employee knows what he or she must do to be successful on the job.

Summary

There are five steps in Performance Planning. They are:

1. **Review the three stages which make up EPRS** so that the employee understands exactly what will happen during the year.

2. **Discuss the role of the employee in the unit**, so that the employee knows how his or her job fits into making the unit run well. Review with the employee the agency's mission, goals and objectives and let the employee know how the employee and his or her unit contribute toward the agency's success in accomplishing its mission, goals and objectives.

3. **Discuss and write down job duties** so that you and the employee understand what the employee should be doing on the job.

4. **Discuss and write down performance criteria for each duty** so that you and the employee understand what it means to do the work right.

5. **Sign the form and get signatures** to show that you and the employee and the reviewer all understand the job duties and performance criteria.

Chapter Outline

This chapter describes each of the steps in Performance Planning in detail. It covers:

- How to prepare for the Stage A meeting
- The five steps of Stage A
- Ending Stage A and preparing for Stage B
- Stage A check list

Notes

How to Prepare for the Stage A Meeting

Before you hold the Stage A meeting with the employee, you need to get ready.

1. Review the EPRS manual so that you will be able to answer any questions an employee may have.

2. You may ask your supervisor for a copy of the agency mission, goals and objectives. Go over these so you understand them.

3. You may ask your supervisor if there are any new objectives for your area, so you can include them in your planning.

4. Review the list of duties in Section 6 of the employee's Position Description (HRD Form 30). Think about which of these duties are most frequently done and most important for the year.

5. Discuss with the reviewer the job duties you expect an employee to perform. If the Position Description is not up to date or does not reflect the duties which you will be asking the employee to perform, discuss with the reviewer and the agency personnel officer the need to update the Form 30.

6. Discuss with the reviewer the performance criteria which will show that the work is being done successfully. You may also discuss the performance criteria with other supervisors who have employees doing the same work.

7. Fill in the blanks at the top of a fresh EPRS form (starting with the employee's name).

8. Make copies of these to give to the employee:

   - The EPRS Form
   - The Employee's Form 30 (available in your personnel office)
   - Agency mission, goals and objectives (if available)
   - Rating scale

   Usually you will give these to the employee before the Stage A meeting so he or she can read them over and think about them.

Now you are ready to begin the Stage A meeting.

Notes

The 5 Steps of Stage A: Performance Planning

Step 1. Review the three stages which make up EPRS

You should introduce the employee to the Employee Performance Review System (EPRS) and the EPRS form. This helps the employee to understand and to feel comfortable with the whole evaluation system.

Here is what you might say to the employee.

- *EPRS stands for Employee Performance Review System. It is used to plan and to evaluate job performance.*
- *EPRS has three stages:*

Stage A is called Performance Planning. *We are starting performance planning now. We will discuss and write down your job duties, and what it means to do these duties successfully.*

Stage B is called Progress Review. *We will do this during the year. This Stage has several informal and one formal chance for us to talk about how things are going so far. The reason for these meetings is to point out and talk about good work and to solve problems. At the formal meeting in the middle of the year, I will make "advisory ratings" of your performance in the first half of the year on each job duty, as well as overall. After the formal meeting, we will continue to meet informally to review your progress.*

Stage C is called Annual Review. *At the end of the year, we will talk about your performance over the whole year. Then I will rate your performance on each duty as well as your overall performance. The reviewer will make the final rating. Attendance and employee development will both be discussed. After our annual review meeting we will meet again to plan for next year, and start EPRS again.*

- *Here is the EPRS form. Do you have any questions about it? You will get a copy of your EPRS form when it is signed in each stage.*

- *Here is a copy of the rating scale I will use to rate your performance. The rating scale is simple. Job performance is rated as "satisfactory"/"unsatisfactory" or "meets/ exceeds/ below". I will rate your job performance by comparing it with the criteria for success which we discuss and write down on the EPRS form today.*

- *The ratings may be used when we make personnel decisions in the agency. They may be used for decisions on transfers, reassignments and promotions as covered in the applicable articles in CBA as well as for salary and step raises.*

- *There are two ways to appeal the evaluation, through the appeal process outlined in your Collective Bargaining Agreement or through the Civil Service Commission.*

Step 2. Discuss the role of the employee in the unit

After you make sure the employee understands EPRS, you should help the employee see how his or her job helps the agency get its work done.

1. Be sure the employee has a copy of the agency mission, goals and objectives, if available.

2. Talk about how the employee fits into the "big picture".

   - Describe the mission, goals and objectives of the agency.

   - Discuss the objectives of your unit. Let the employee know what your unit has to do to help reach the agency's objectives.

   - Explain how the employee's job duties help the unit reach its objectives.

Here are examples of recent mission statements for two agencies which were developed as part of the managerial planning and performance evaluation system:

Department of Youth Services Mission Statement February, 19xx The mission of the Department of Youth Services is to promote law abiding, productive behavior in the juvenile offenders who are sent to the Department by the Courts. To achieve this....	Department of Revenue Mission Fiscal Year 'XX To professionally and equitably administer the tax laws of the Commonwealth.

Your agency's statement of mission, goals and objectives may be several pages long. If so, look for the parts that are most important overall and for your work unit. Circle these before you give the statement to the employee.

Now go on to Step 3, where you discuss and write down the main job duties for the employee's Job.

Notes

Step 3. Discuss and write down job duties.

In this step you and the employee discuss the employee's job, and write down the main job duties on the EPRS form. In this way you are sure you both understand what duties are required on the job.

1. Be sure the employee has a copy of the front of his or her Position Description (HRD Form 30). Section 6 should list the most frequent and important work duties for the job.

2. If the employee's duties have changed from what is on the Form 30, you should write a new duty statement. Speak to the reviewer or agency personnel officer before you change any duties.

3. Go over the Form 30 with the employee and together choose the duties which are most frequently done and most important for this year.

4. Write these main job duties on the back of the EPRS form, one duty in each box. If the employee has more than 4 main duties, make a copy of the back page and staple it to the EPRS form.

   (Tips on writing a good duty statement can be found at the end of this Chapter.)

5. Remind the employee that he or she is responsible for all the job duties assigned, even if they are not written on the EPRS form. Point out that all duties will be taken into consideration in the overall evaluation. Of course, the duties assigned should agree with the employee's job title.

Once you have finished the list of main job duties, go on to the next step, writing the performance criteria.

Notes

EXAMPLE OF FORM WITH JOB DUTIES LISTED

PRIMARY JOB DUTIES/PERFORMANCE CRITERIA

Duty __1__: *Types material from rough draft or straight copy according to standard agency format, making minor corrections in grammar/punctuation/spelling, in order to produce finished work in final form*

Performance Criteria: (Performance is successful if:)

Actual Performance:
Progress Review: satisfactory unsatisfactory
Progress Review Comments:

Annual Review: satisfactory unsatisfactory
Annual Review Comments

Duty __2__: *Covers telephone for Langley Office by transferring calls, taking messages, providing information, maintaining lists of calls to that each staff member promptly receives telephone calls/messages*

Performance Criteria: (Performance is successful if:)

Actual Performance:
Progress Review: satisfactory unsatisfactory
Progress Review Comments:

Annual Review: satisfactory unsatisfactory
Annual Review Comments

Duty __3__: *Telephones information into central office/other field offices on a routing basis to provide daily/weekly updates on activities/assignments.*

Performance Criteria: (Performance is successful if:)

Actual Performance:
Progress Review: satisfactory unsatisfactory
Progress Review Comments:

Annual Review: satisfactory unsatisfactory
Annual Review Comments

Duty __4__: *Process incoming mail, memoranda, packages, etc. by receiving/sorting/stamping/routing/distributing materials received to ensure prompt receipt by addressee.*

Performance Criteria: (Performance is successful if:)

Actual Performance:
Progress Review: satisfactory unsatisfactory
Progress Review Comments:

Annual Review: satisfactory unsatisfactory
Annual Review Comments

Step 4. Discuss and Write Down Performance Criteria for Each Duty

In this step you discuss with the employee what you both mean when you say that the job is being done right. For each duty listed on the EPRS form, decide what the criteria are. Then write the criteria under the job duty.

1. Take each duty, and think about what you mean by doing it right. Are you most interested in a physical work product, or in the actions of the employee? How will you describe what you expect?

The **work product** could be described by:	the ***quality*** of the work performed the ***amount*** of work to be performed the ***time*** frame in which the work is done the ***cost*** of the work
The **work actions** could be described by:	the way the employee ***works with others*** the ***procedures*** used to do the job

For example:

There usually are 2-4 criteria for each job duty. The criteria should be:

- o Observable
- o Clear and specific
- o Realistic
- o Easy to follow over the year
- o Similar to that of other employees who are doing the same work
  (This will help the employees feel that they are being treated fairly, and avoid conflict later.)

2. Discuss these criteria with the employee. Try to reach agreement on the criteria . If you cannot reach agreement, at least reach understanding.

3. Write the criteria for the job duty in the box under the duty on the back of the EPRS form.

4. You and the employee may agree to look at these criteria again in a month or so, to see if they are workable, or if they need to be revised. This may be helpful while you and the employee are getting used to EPRS.

When you have listed criteria for each job duty on the EPRS form, it is time for you to go to the last step of Stage A.

Notes

Examples of Criteria

A **Cook** might have this job duty:

"Cooks lunch for residents each day following menu provided by dietitian so that clients have a tasty diet."

The criteria might be:

1. Food tastes good.	(quality)
2. Hot food is hot and cold food is cold.	(quality)
3. Enough food is prepared for all residents.	(amount)
4. Meals are ready by meal time.	(time frame)
5. Food is not wasted during preparation.	(cost)
6. Answers complaints courteously.	(works with others)
7. Directions from dietitian are followed.	(works with others)
8. All health regulations are followed.	(procedures)
9. Food is cooked at the right temperature.	(procedures)

Notes

Example of Performance Criteria Listed on Form

PRIMARY JOB DUTIES/PERFORMANCE CRITERIA

Duty __1__: Types material from rough draft or straight copy according to standard agency format, making minor corrections in grammar/punctuation/spelling, in order to produce finished work in final form.

Performance Criteria: (Performance is successful if:)
a. typed copy is neat, accurate and in appropriate format.
b. minor corrections in grammar/punctuation/spelling are made.
c. typed copy is completed within prescribed deadlines.

Actual Performance:
Progress Review: meets exceeds below
Progress Review Comments:
Annual Review: meets exceeds below
Annual Review Comments

Duty __2__: Covers telephone for Langley Office by transferring calls, taking messages, providing information, maintaining lists of calls to that each staff member promptly receives telephone calls/messages

Performance Criteria: (Performance is successful if:)
a. messages taken are accurate, clear and referred to the appropriate person
b. manner on telephone is courteous and helpful.
c. telephone is answered promptly at all times.
d. information provided is accurate and clear.

Actual Performance:
Progress Review: meets exceeds below
Progress Review Comments:
Annual Review: meets exceeds below
Annual Review Comments

Duty __3__: Telephones information into central office/other field offices on a routing basis to provide daily/weekly updates on activities/assignments.

Performance Criteria: (Performance is successful if:)
a. information is provided accurately.
b. information is telephoned promptly or on schedule.

Actual Performance:
Progress Review: meets exceeds below
Progress Review Comments:
Annual Review: meets exceeds below
Annual Review Comments

Duty __4__: Process incoming mail, memoranda, packages, etc. by receiving/sorting/stamping/routing/distributing materials received to ensure prompt receipt by addressee.

Performance Criteria: (Performance is successful if:)
a. mail is properly processed and distributed.
b. mail is processed and distributed within prescribed deadlines.

Actual Performance:
Progress Review: meets exceeds below
Progress Review Comments:
Annual Review: meets exceeds below
Annual Review Comments

Step 5. Sign the form and get signatures

At the end of the meeting, you should look at Section A on the front of the EPRS form.

1. There is a check list in Section A (it has 2 small boxes). Check off each box to show you finished that part.

2. Explain to the employee what signing this section means.

   - **Your signature** means that what is written on the back of the EPRS form is what you will use to judge performance for the employee for the year.

   - The **employee's signature** means the employee understands the job duties and performance criteria for each duty, **even if he or she does not agree to them.**

   - The **reviewer's signature** means the reviewer (your supervisor) accepts the job duties and performance criteria that you and the employee have developed.

3. Get the required signatures in Section A.

4. Let the employee know that any of the three people who sign the form may write and attach a comment to the EPRS form at this point.

5. After the form is signed, give a copy to the employee, the reviewer and your personnel office. You keep the original.

Notes

Example of Signatures on Front of EPRS Form

THE COMMONWEALTH OF MASSACHUSETTS
EMPLOYEE PERFORMANCE REVIEW FORM

NAME: NATALIE M. MONROE EVALUATION YEAR: JULY 1, 1995-JUNE 30, 1996
AGENCY: DIVISION OF OCCUPATIONAL SAFETY LOCATION/UNIT: FIELD OPERATIONS/LANGLEY OFFICE
JOB TITLE: TYPIST III FUNCTIONAL TITLE: RECEPTIONIST
SUPERVISOR: BERNICE HUNT REVIEWER: DENISE TOOMEY

The employee and supervisor should consult their EPRS Guide for a full explanation of the purpose and the process of employee performance review. Detailed instructions for completing this form are presented in the EPRS Supervisor's Guide.

A Performance Review: Employee and supervisor meet to plan the work for the year.
☐ Discuss contributing role of employee in unit ☐ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current position description and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse may be used if more space is needed.

Signatures:_____ _____ _____
Employee/Date Supervisor/Date Reviewer/Date
Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

B Progress Review: Employee and Supervisor meet to help the employee meet criteria
☐ Discuss progress for each duty ☐ Assign Advisory rating for each duty
☐ Assign advisory rating for overall performance

Progress Review Summary Rating: Satisfactory/Unsatisfactory Below/Meets/Exceeds
Supervisor's Comments: *Natalie is adapting well to our procedures here at the Langley Office.*

Signatures:_____ _____ _____
Employee/Date Supervisor/Date Reviewer/Date
Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

Before you end your meeting, you should prepare the employee for Stage B, Progress Review. This is described next.

Notes

Ending Stage A and Preparing for Stage B

You should let the employee know that you will talk about the work often during the year in informal progress review meetings. Let the employee know that the informal progress reviews will start soon. Also, let the employee know that he or she may ask you for an informal review session any time they feel there is a problem.

You should set up a regular schedule of short informal sessions, perhaps every other week, or once a month. It is important to have **at least two** informal sessions before the formal mid-year review.

You should use these sessions to help the employee:

- know how he or she is doing
- know what he or she is doing well
- talk about any problems in job performance, and ways to solve them before small problems become big problems

In Stage B you may need to change the duties or criteria on the EPRS form. This may be needed because of changes in personnel or changes in unit activities. Any time you make changes to the form, do it only after you meet with the employee. If this is a new duty, make sure it is included on the employee's Form 30 as well. Be sure to give a copy of the revised form to your supervisor for review and then to the employee. Also send a copy to your personnel office.

This finishes Stage A.

Here is a check list of the steps in Stage A. Use it to be sure you have done all of them.

Check List for Stage A

1. Prepare for the planning meeting..... _____
2. Review the three stages of EPRS with the employee..... _____
3. Discuss the role of the employee in the unit and the role of the unit in the department..... _____
4. Discuss and write down the job duties..... _____
5. Discuss and write down performance criteria for each duty..... _____
6. Sign the form and get signatures..... _____
7. Set up a schedule for informal progress review sessions..... _____

Role of the Reviewer for Stage A

The reviewer has an important role in Stage A. First, the reviewer helps the supervisor get ready for Stage A. Second, the reviewer makes sure that the results of the EPRS make sense.

Help the supervisor prepare for EPRS

The reviewer should help the supervisor get ready for EPRS.

1. The reviewer should go over EPRS with the supervisors to be sure they understand what they have to do. A good way to do this is to go over the check list for Stage A on the previous page.

2. The reviewer should give the supervisor a copy of the agency mission, goal and objectives, and review these with the supervisor.

3. The reviewer should give the supervisor a copy of the management objectives for the work unit, and review these with the supervisor.

4. The reviewer and supervisor should go over the major duties of the employee's job using the position description (HRD Form 30) and the type of criteria which would show that the job is being done right.

Review the results of Stage A

When the EPRS form is given to the reviewer for approval, he or she should answer these questions about Stage A.

1. Does the material on the EPRS form make sense?

   - Do the job duties cover all major parts of the job?
   - Do the performance criteria describe successful job performance?
   - Are the criteria generally consistent for those employees with similar jobs?
   - Are the criteria consistent with those established under the Union contract?

2. Did the supervisor and employee do all the things on the checklist?

   - Did the supervisor and employee meet to discuss job duties and criteria, and fill out the EPRS form?

3. Was the EPRS form filled out correctly?

   - Are the major duties and criteria filled in on the form?
   - Is the form signed by the employee and supervisor?

4. Is there anything the reviewer needs to do to allow the employee to get the work done?

   - Is any further coordination between employees or work units needed?
   - Will the employee have the resources needed to do the work?
   - Will the work be ready on time for any additional steps in the work process?

Prepare for Stage B

The reviewer and supervisor should meet regularly to see if there are any problems with EPRS, and to discuss the performance of the work unit. This is especially important before the formal mid-year progress review. This will help the reviewer and supervisor prepare for the mid-year meetings.

Notes

Further Guidelines for Writing Job Duty Statements

A duty statement has the "**what**", "**how**" and "**why**" of the work activity. It should start with an action verb.

The word "Cooks", by itself, is not very useful as a job duty statement since it doesn't tell us enough about the nature of the work activity involved. A much more useful statement is:

> "Cooks lunch for residents each day following menu provided by dietitian so that clients have a tasty diet."

Now let's take a step-by-step look at this duty statement to see how it meets the four requirements of a good job duty statement.

Start with an action verb ("*Cooks...*")
Begin each duty with an action verb. Other examples are:
"*Codes*" or, "*Assesses*".

Avoid using such vague terms as "handles", "administers", "assists in" or "is responsible for".

Say WHAT the employee does ("Cooks *lunch for residents each day...*")
Make the action specific. Other examples are:

> "Codes.....*forms from field offices.....*"

> "Assesses .....*the qualifications of applicants for contracted positions.....*"

Say HOW the work is done ("*...following menu provided by dietitian...*").
Briefly describe the main methods, procedures or equipment used so it becomes clear HOW the action is carried out. Other examples are:

> "*...using office coding guide...*"

> "*...by reviewing resumes, interviewing applicants and asking questions related to the work to be performed...*"

Notes

Say WHY work is done ("*...so that clients have a tasty diet.*")
End each duty with a short explanation of WHY the action is performed. Other examples are:

"*...to prepare forms for filing.*"

"*...so that qualified applicants are hired.*"

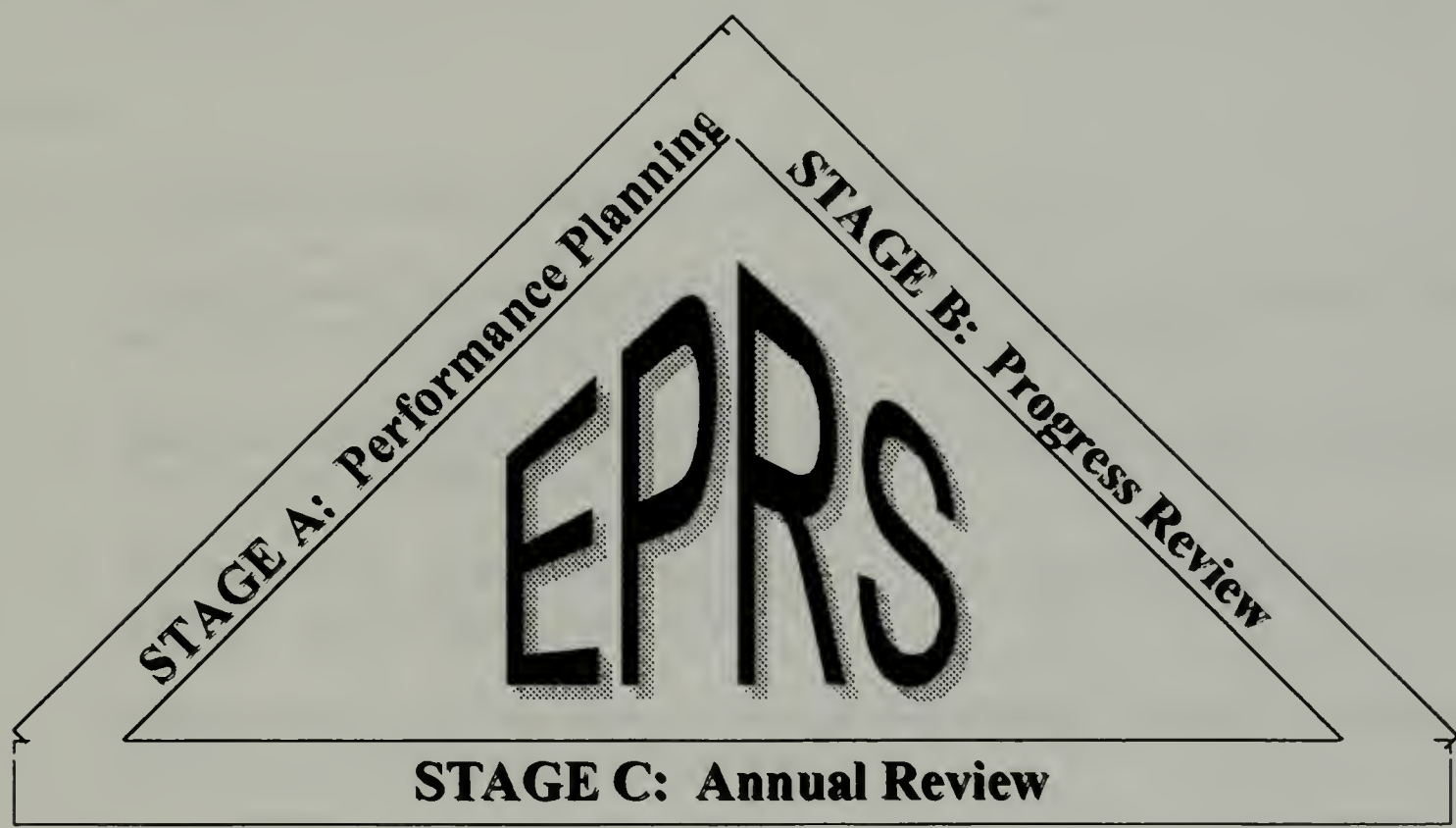
So, the three complete examples of job duties are:

"Cooks lunch for residents each day following menu provided by dietitian so that clients have a tasty diet."

"Codes forms from field offices using office coding guide to prepare forms for filing."

"Assesses the qualifications of applicants for contracted positions by reviewing resumes, interviewing applicants and asking questions related to the work to be performed so that qualified applicants are hired."

Notes



CHAPTER 2

Stage B: Progress Review

Chapter 2
Stage B: Progress Review

Purpose

In this year-long stage, you and the employee regularly talk about, and keep track of, job performance. You let the employee know how he or she is doing in the job. You help the employee think about ways to meet the criteria you both discussed and wrote down in Stage A.

Summary

There are seven (potentially eight) steps in the Progress Review. They are:

1. **Meet informally with the employee regularly** during the year so that both of you know what he or she is doing right and where there may be problems.

2. **Begin the mid-year review meeting** by explaining what will happen in this Stage so that the employee knows what to expect.

3. **Discuss and rate performance for each duty** so the employee knows exactly how well he or she is performing each duty.

4. **Discuss and write down ways to improve performance** if necessary, so that the employee can do better on specific job duties.

5. **Discuss and rate overall job performance** so that the employee knows exactly how he or she is performing the job overall.

6. **Update the duties and criteria** so that they are useful for the rest of the year.

7. **Sign the form and get signatures** to show that you and the employee and the reviewer understand the ratings and comments.

8. **Prepare Remedial Development Plan** for any employee who receives an "unsatisfactory" or "below" rating at the Stage B Progress Review, so that they have the opportunity to achieve a "satisfactory" or "meets" rating.

Chapter Outline

This chapter describes each of the steps of Progress Review in detail. It covers:

- How to prepare for Stage B
- The seven steps of Stage B
- Ending Stage B and preparing for Stage C
- Stage B check list

Notes

How to Prepare for Stage B

The progress review stage has two parts. The first part is made up of informal review sessions which begin right after you finish Stage A and continue until the end of the year. The second part is the mid-year progress review meeting which is held about 6 months into the year. There are several things you and the employee need to think about and do to get ready for these two parts of Stage B.

Preparation for Informal Reviews

1. At the end of the Stage A meeting, set up a schedule of **regular, informal** review sessions with the employee. This could be every two weeks or once a month.

2. Tell the employee to feel free to ask for an informal review session anytime, especially if there is a problem.

3. Keep track of what the employee has done on the job. This might include keeping regular notes for yourself about what you see the employee doing well or poorly. **These notes are informal and not part of the employee's official record**. These notes help you **remember** things the employee did. You should share these notes with the employee when they are written.

4. Suggest that the employee also keep notes on things that are going particularly well or on any problem areas. The employee should list things that are preventing him or her from doing the job right. The employee should share these notes with you when they are written.

5. Ask the employee to review the job duties and criteria on his or her EPRS form before each review session.

6. Find a quiet, private place to hold these sessions, if possible.

Preparation for the Mid-Year Progress Review

1. Make sure the employee has a copy of his or her EPRS form and the appropriate rating scale before the mid-year meeting .

2. Go over the employee's performance and any notes you may have to remind you of how the employee is doing the job (for the last 6 months). Compare this to the duties and criteria on the EPRS form.

3. Before the mid-year progress review meeting, ask the employee to think about and rate his or her performance for each job duty listed on the EPRS form and for overall job performance.

4. **In Pencil**, rate the employee on the EPRS form. **Do not** make any final decisions on the ratings until you have met with the employee and discussed his or her performance.

5. Talk to the reviewer about your thoughts on the ratings **before** you meet with the employee.

Now you are ready to begin Stage B.

The 7 Steps of Stage B: Progress Review

Step 1. Meet informally with the employee regularly

You should hold short informal progress review sessions regularly with the employee. At these sessions you should discuss how the employee is doing.

These sessions are a way of "keeping on top of things" for you and the employee. You can handle small issues before they become large problems, and avoid any surprises at the mid-year review.

Start holding these sessions shortly after agreeing on the main job duties and the performance criteria for each duty in Stage A. You might hold them at the same time every 2 weeks or once a month.

1. Talk about examples of job performance which you have seen, whenever possible. For example, you might discuss:

   - Unusually good or poor job performance
   - Things blocking successful performance and possible solutions
   - Changes to the job duties or criteria
   - Progress towards work unit objectives

2. During the sessions be specific about job performance for each duty:

   - Talk about what the employee did or did not do.
   - Talk about how the employee's performance was above or below expectations.
   - If needed, talk about ways to improve the employee's performance.

3. Change the duties and criteria on the EPRS form only for good reason. Often the form will change when the assignments or procedures of the work unit change. If you change the form, date and initial the change.

   Be sure that the reviewer is told about any changes to the EPRS form which you and the employee make during informal progress reviews.

4. Let the reviewer know how things are going with the employee during the year.

Of course, you do not have to wait for these meetings. **Any time** you see the employee doing something very well, let him or her know you have noticed. And, if a problem comes up which needs attention, you or the employee should ask for a special session to discuss it.

Step 2. Begin the mid-year review

You should start the mid-year meeting by going over EPRS and reviewing what will happen in this Stage so that the employee knows what to expect.

1. **Here is what you might say** to an employee:

   - *The purpose of this meeting is to let you know how well you are doing, and to help you improve in certain areas, if needed.*

   - *So far this year we have been getting together to go over your job performance.*

   - *We are now in the middle of the year, and it is time for the mid-year progress review. At this review we will do these things:*

     - *You and I will discuss your job performance so far this year.*
     - *After that we will fill out the EPRS form and I will rate your job performance so far.*
     - *We will discuss the duties and criteria we will use to evaluate your performance for the rest of the year.*
     - *Then we will both sign the EPRS form.*
     - *If you disagree with, or would like to comment on my progress review ratings, you may attach your comments to the EPRS form and check off the box which indicates your comments are attached.*

   - *After we are done and the reviewer has signed, I will give you a copy of the EPRS form.*

   - *Before we start, do you have the copy of your EPRS form and the EPRS rating scale which I gave you a little while ago?*

2. Before going on to Step 3 keep these things in mind:

   - You should remain "open minded" and listen carefully to what the employee has to say about his or her performance. The employee knows most about the details of what he or she is doing day-to-day.

   - You should focus on what the employee is doing well.

   - You should try to help the employee notice and find ways to solve any problems he or she may have doing the job.

   - You may need to help the employee understand what successful job performance is.

   - Remember that the employee may not appeal the mid-year advisory rating

Step 3. Discuss and rate performance for each duty

This is the main part of the mid-year progress review meeting. It is usually the hardest part for the supervisor.

When possible, you should talk about examples of job performance which you have seen. This step will be easier if you have had many informal progress review sessions with the employee.

To begin, you and the employee should take out your copies of the rating scale and the EPRS form.

1. Go over the rating scale which you gave the employee before the meeting. Talk about the difference between satisfactory/unsatisfactory or meets/exceeds/below expectations ratings, in general. Ask the employee if he or she understands these ratings.

2. Turn to the back of the EPRS form which lists the duties. Discuss each duty separately. For each duty:

   - Go over the job duty and the criteria for that duty. Ask the employee how he or she has been doing. Ask for details of job performance. Ask if there are any problems in doing the job duty.

   - Explain how you see the employee performing that duty. Be as specific as possible. If you need time to get more information, you may need another meeting.

   - **Talk about specific job performance, not personalities.**

     Say this: "The last 3 monthly summaries have been incomplete. All parts have to be filled in."

     Not this: "You have handed in incomplete work because you are lazy and don't care about your work."

   - **Focus on the positive**. If the employee is doing 90% of the job right, then spend 90% of the meeting talking about what is being done right. This will encourage the employee to continue doing this right.

   - Talk about how you and the employee agree and disagree. Keep to the important parts of the job not unimportant details.

   - If the duty or criteria have changed since the EPRS form was written, you should note the change and the reason for the change on the form. Rate the employee's performance up until the change. If this is not possible, explain why and comment on the employee's performance. Then write this on back of the EPRS form.

3. Make an advisory rating for each duty based on how well you think the employee has done so far this year. Then record your advisory rating on the back of the EPRS form.

   - Choose the rating **you** think is best for the duty you are rating. Re-read the rating scale **before** making the rating.

   - Circle the word "satisfactory"/"unsatisfactory" or "meets/exceeds/below expectations" for the duty. You will find these words next to the words "Progress Review" near the bottom of each box on the back of the form.

   - While it is recommended that you write a comment to explain any rating, you **must** explain a rating of "unsatisfactory" or "below".

This is a sample of the back of the EPRS form:

Example of Advisory Ratings for Two Job Duties

Duty : _2_ Covers telephone for Langley Office by transferring calls, taking messages, providing information, maintaining lists of calls to that each staff member promptly receives telephone calls/messages.

Performance Criteria: (Performance is successful if:)
a. messages taken are accurate, clear and referred to the appropriate person.
b. manner on telephone is courteous and helpful.
c. telephone is answered promptly at all times.
d. information provided is accurate and clear.

Actual Performance:

Progress Review: satisfactory / unsatisfactory
(or) meets/exceeds/ below expectations
Progress Review Comments:

Annual Review: satisfactory / unsatisfactory
(or) meets/exceeds/ below expectations
Annual Review Comments

Duty: _3_Telephones information into central office/other field offices on a routine basis to provide daily/weekly updates on activities/assignments.

Performance Criteria: (Performance is successful if:)
a. information is provided accurately.
b. information is telephoned promptly/on schedule.

Actual Performance:

Progress Review: satisfactory unsatisfactory
(or) meets/exceeds/ below expectations
Progress Review Comments: Effective 8/8/95, Natalie took on this important new responsibility. Based on initial reports from the CO and the Holyoke Office, this phone-in procedure has been working out very well due to Natalie's initiative and reliability.

Annual Review: satisfactory unsatisfactory
(or) meets/exceeds/ below expectations
Annual Review Comments

When you have discussed and rated all the duties, go on to Step 4 where you talk about ways to improve the employee's job performance, if needed.

Step 4. Discuss and write down ways to improve performance

After you make the advisory rating for each job duty, talk about ways to improve job performance, when necessary.

1. Ask if the employee is satisfied with his or her job performance.

2. Tell the employee whether or not you are satisfied with performance on this duty. If performance was not successful, try to find out why.

3. Help the employee think about ways to do that job duty better, if necessary.

   - Is anything getting in the way of job performance which you can help correct?

   - Are there other problems keeping the employee from getting the work done right?

   - Was there more work to do than you and the employee expected?

   - Was the work harder than either of you expected?

   - Has the employee ever done the job duty right? If so, why isn't it done right more often?

   - Is there some skill or information the employee needs to learn to do the job better?

   - Ask the employee if there is anything you can do to help.

4. If improved performance is needed, you might talk about how you and the employee will work to change performance on the duty over the next six months.

Write down ways you agree on to improve job performance. This may be written in the comments space under the rating for the job duty, or on a separate piece of paper you attach to the form.

Now it is time to discuss and to rate the employee's overall job performance.

Notes

Step 5. Discuss and rate overall job performance

You and the employee have discussed how he or she is doing on each job duty and worked out ways to improve performance where needed. It is time to rate how the employee has done overall.

1. Ask the employee to think about how he or she performed all of the job duties for the position for the last 6 months. Then ask how the employee would rate his or her job performance overall.

2. Ask the employee if he or she did important work that may not yet be written on the EPRS form.

3. Tell the employee how you feel he or she did overall. Also tell the employee the advisory rating you plan to give for this duty.

4. Discuss how you agree or disagree. You may remind the employee that the mid-year rating is only meant to be advisory.

5. Make your advisory rating of the employee's overall job performance so far this year.

   Re-read the rating scale definitions **before** making this rating. You should make the overall advisory rating for the employee based on all the duties assigned, even if they are not written on the EPRS form. But, it is very unusual to give an employee a rating based on duties not listed on the EPRS form. The overall rating does not have to be an average of the ratings on all the duties.

   You should make the overall rating for the employee even if some duties or criteria have changed during the year.

6. Circle the word "satisfactory"/"unsatisfactory" or "meets/exceeds/below" next to the words "Progress Review Summary Rating" in Section B on the **front** of the EPRS form.

Example of Overall Advisory Rating

A **Performance Review**: Employee and supervisor meet to plan the work for the year.

☐ Discuss contributing role of employee in unit ☐ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current position description and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse may be used if more space is needed.

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

B **Progress Review**: Employee and Supervisor meet to help the employee meet criteria

☐ Discuss progress for each duty ☐ Assign Advisory rating for each duty

☐ Assign advisory rating for overall performance

Progress Review Summary Rating: satisfactory / unsatisfactory or meets/exceeds/below

Supervisor's Comments: *Natalie is adapting well to our procedures here at the Langley Office.*

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

7. You may write a comment on either rating. You **must** explain a rating of "unsatisfactory" or "below" and create a Remedial Development Plan.

Step 6. Update the duties and criteria

Now is the time to update the EPRS form, if needed. You and the employee should both look at the duties and the criteria. Together you should ask yourselves, "Have the duties or criteria changed?"

1. Make sure the **duties** listed are still the most important for the rest of the year.

   - If a duty should be added, write it on the back page of the EPRS form, or on a blank copy of that page.

   - If a duty is no longer performed, or is no longer important, write on the form: "No longer part of EPRS" with your initials and date.

2. Make sure the **criteria** for each duty are still the most useful.

   - The criteria may have to change during the year. This is most true when first learning to use EPRS, when the duties are new or when people using EPRS have not worked together before.

   - Be careful not to lower the criteria just because the employee is not performing the job right.

   - Think about the performance of all your employees. For example, if all the employees are having trouble doing something, they may need training or you may need to change the way the job is done.

   - If you change the criteria, initial and date the changes.

It is your responsibility as a supervisor to **keep the EPRS form up-to-date** with the duties and criteria for the job the employee is actually doing. You should do this during the year rather than at the mid-year meeting, whenever possible.

Changes to the EPRS form should not happen frequently. Changes in duties are expected in some jobs, to meet the demands of the work unit. Changes in criteria are expected less often, especially when the criteria for the job have been in use for several years.

Now you are ready to sign the form.

Notes

Step 7. Sign the form and get signatures

As in Stage A, you and the employee and the reviewer must sign the front of the EPRS form in Section B, **Progress Review**.

1. There is a check list in Section B, (it has 3 small boxes). Check off each box to show you finished that part.

2. You and the employee and the reviewer have the right to attach comments to the EPRS form.

3. Explain to the employee what signing this section means.

   - **Your signature** means that you have done the advisory ratings and discussed them with the employee.

   - The **employee's signature** means the employee understands the evaluation and the comments written on the EPRS form. If the employee does not agree with your ratings, he or she should attach comments to the form, and then sign the form. Then you should check the comments box on the front of the form, showing that the employee has attached comments.

   - The **reviewer's signature** means that the reviewer has read your advisory ratings and comments you or the employee wrote, and agrees with the ratings. If the reviewer disagrees, he or she will attach comments to the form.

4. Get the required signatures in Section B.

   If the employee does not want to sign the form, try to find out why. Make a note of this on the form.

5. After the form is signed, give a copy to the employee and the reviewer and your personnel office. You keep the original.

   Anytime you make changes to the form, be sure to send a copy to your personnel office so they can attach it to the original form.

Notes

<u>Step 8. Create a Remedial Development Plan</u> (only necessary when overall rating is "unsatisfactory" or "below")

The purpose of the EPRS Remedial Development Plan (RDP) is to assist employees who have job performance problems. If an employee receives an overall rating of "below" or "unsatisfactory" at Stage B, or if the Supervisor anticipates that a "below" or "unsatisfactory" rating will be given at the Stage C Final Review, a RDP is to be **formulated jointly** by the supervisor and the employee.

The guidelines for developing a RDP are as follows:

1. Any employee who receives an "unsatisfactory" or "below" evaluation will be re-evaluated 30 days after the completion of Stage B and/or Stage C. The agency will place in the employee's file a RDP. The employee will be re-evaluated every thirty (30) days until a "satisfactory" or "meets/exceeds" rating is achieved or six months pass, whichever is first.

2. Employees that may be nearing an "unsatisfactory" or "below" rating will be counseled by his/her supervisor three (3) months in advance of their final stage of the evaluation as to the specific areas that must be improved and what they must do to attain a "satisfactory" or "meets/exceeds" rating.

3. During the process of the re-review, the employee who continues to receive "unsatisfactory" or "below" ratings can make a one-time appeal of that re-review rating to the Merit Arbitration Board. This appeal must be filed within ten (10) days of the last review rating. Any decision in favor of the employee will be from the month of the appeal forward. Such appeal may not be filed if the employee has already filed an appeal at the time of the final unsatisfactory review.

4. Once the employee receives a "satisfactory" or "meets/exceeds" evaluation during the re-review process, he/she becomes eligible for the denied step and/or denied salary increases effective from the date of receiving the "satisfactory" or "meets/exceeds" rating. The employee's anniversary date for step purposes shall not be retarded upon receiving the "satisfactory " or "meets/exceeds" rating.

5. Any employee who may be adversely impacted by an untimely evaluation shall be made whole upon the completion of the performance review and upon achieving a final rating of "satisfactory" or "meets/exceeds".

6. All financial considerations (i.e., merit increases, step rate increase) are based on the employee's most recent, final annual evaluation.

7. When work-related circumstances occur over which the employee/agency has no control, the employee is not to be prevented from attaining an overall rating of "satisfactory" or "meets/exceeds".

Example of Signed Advisory Rating

A **Performance Review**: Employee and supervisor meet to plan the work for the year.

☐ Discuss contributing role of employee in unit ☐ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current position description and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse may be used if more space is needed.

Signatures:_____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

B **Progress Review:** Employee and Supervisor meet to help the employee meet criteria

☐ Discuss progress for each duty ☐ Assign Advisory rating for each duty

☐ Assign advisory rating for overall performance

Progress Review Summary Rating: satisfactory / unsatisfactory (or) meets/exceeds/below

Supervisor's Comments: *Natalie is adapting well to our procedures here at the Langley Office.*

Signatures:_____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

Before you end your meeting, you should prepare the employee for Stage C, Annual Review. This is described next.

Notes

Ending Stage B and Preparing for Stage C

It is important for you to let the employee know that the informal progress review sessions will continue for the rest of the year.

Remember to keep track of how the employee is doing over the rest of the year so you can be specific when you discuss performance at the Annual Review.

This finishes Stage B.

Here is a check list of the steps in Stage B. Use it to be sure you have done all of them.

Check List for Stage B

1. Hold informal progress reviews as needed.....____
2. Prepare for the mid-year Progress Review meeting.....____
3. Review Stage B with the employee.....____
4. Discuss and rate performance for each duty.....____
5. Discuss and write down ways to improve job performance.....____
6. Update job duties and criteria, if needed.....____
7. Discuss and rate overall job performance.....____
8. Sign the form and get signatures.....____
9. Give employee copy of signed EPRS form.....____
10. Create Remedial Development Plan..... ____
11. Plan to continue to hold regular informal progress review meetings.....____

Addition to Chapter Two:

Role of the Reviewer for Stage B

At least a few times during the year, the reviewer should talk with the supervisor to see how each employee is doing. If the reviewer changes the objectives, job assignments or work procedures of the unit, he or she should help the supervisors make any changes needed in the EPRS forms for their employees. Changes to the EPRS forms should be dated and initialed.

Before the mid-year progress review meeting, the reviewer should meet with the supervisor to discuss the employee and to help the supervisor get ready for the progress review meeting. After the mid-year meeting the reviewer goes over the results of the meeting.

Help the supervisor prepare for the formal Progress Review Meeting

The reviewer should:

1. Explain how to use the EPRS rating scale and discuss the differences between "satisfactory"/"unsatisfactory" and "meets/exceeds/below" ratings.

2. Talk about how these ratings apply to the duties and criteria written on the employee's EPRS form.

Review the results of Stage B

Here the reviewer makes sure that the results of Stage B make sense. When the EPRS form is given to the reviewer for review, he or she should answer these questions about Stage B.

1. Do the information, rating and comments on the EPRS form make sense?

   - Are the ratings consistent with job performance and with the performance criteria?
   - Are the comments logical and related to job performance and the performance criteria?

2. Is there consistency of ratings across supervisors? Are employees who are doing equal quality work on similar duties being rated alike? Joint meetings with all supervisors under you can assist in this review.

3. Was the EPRS form filled out correctly?

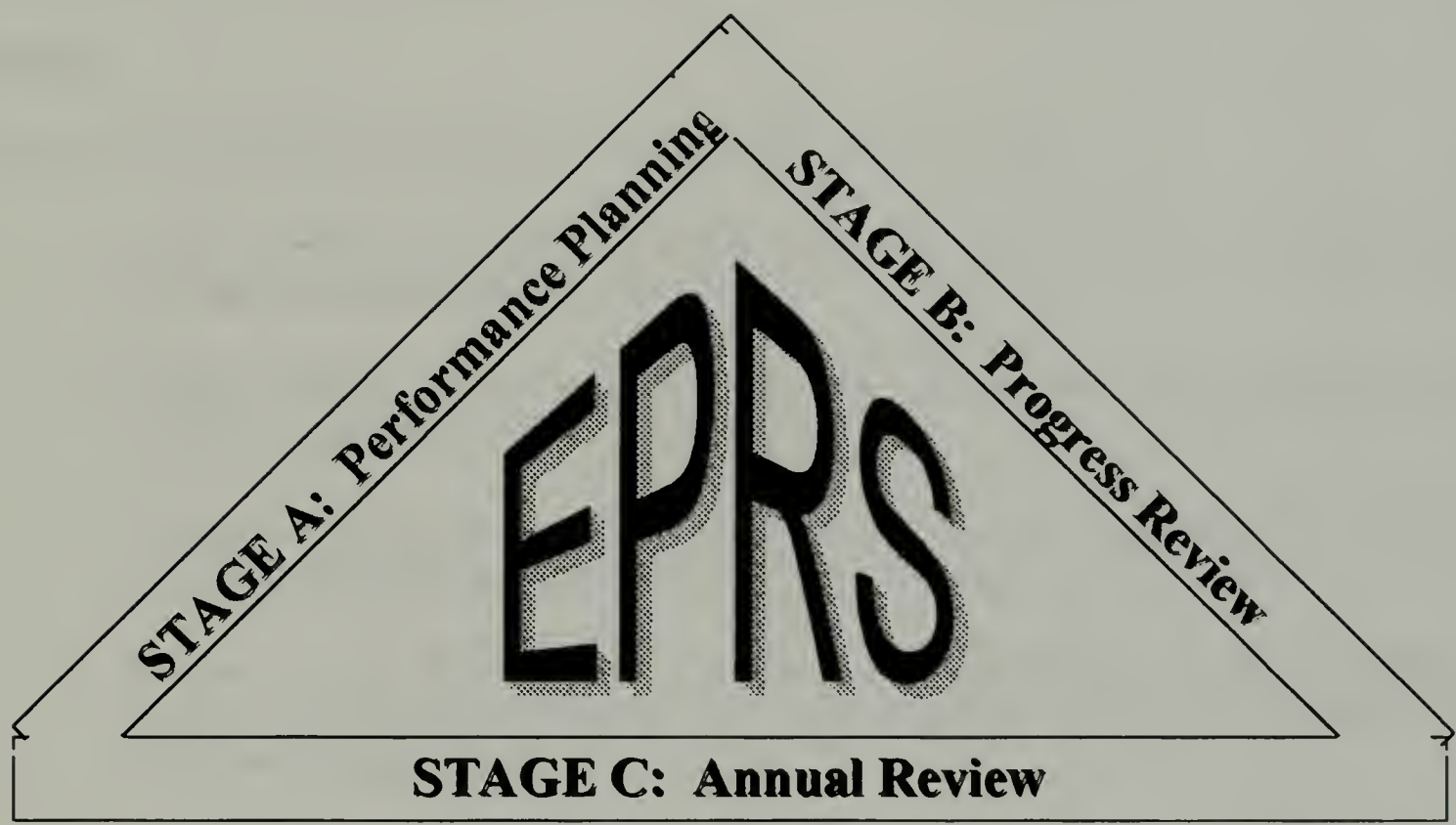
   - Was each duty rated and were comments made where called for on the EPRS form?
   - Was the overall rating completed on the front of the form, and were comments made where needed (for "unsatisfactory" or "below" ratings)?
   - Is the form signed by the employee and supervisor?

4. Was a Remedial Development Plan created for an employee whose overall rating was "unsatisfactory" or "below" ?

   - Was the RDP form completed with signatures from the employee, supervisor and reviewer?
   - Was a time scheduled for the employee and supervisor to meet (within 30 days) to review the employee's progress with the RDP?

Sign the EPRS Form and Comment on the Advisory Ratings

The reviewer does not make progress review ratings. If the reviewer agrees with the ratings he or she signs the form, and may comment. If the reviewer disagrees, he or she should write and attach comments and then sign the form. Remember, a copy of the completed form must be given to the employee.



CHAPTER 3

Stage C: Annual Review

Chapter 3
Stage C: Annual Review

Purpose

In the Annual Review Stage you let the employee know how well he or she performed the job over the year. Your ratings may be used to make future personnel decisions.

Summary

There are five (potentially six) steps in the Annual Review. They are:

1. **Begin the Annual Review** meeting by explaining what will happen in this Stage so that the employee knows what to expect.

2. **Discuss and rate performance for each duty** so the employee knows exactly how well he or she performed each duty over the year.

3. **Discuss and rate overall job performance** so that the employee knows exactly how well he or she performed the job overall, during the year.

4. **Discuss and write down an employee development plan** so that the employee thinks about and plans for his or her career development. This step is done only if the employee wants to do this.

5. **Sign the form and get signatures** to show that you and the employee and the reviewer understand the ratings and comments.

6. **Create Remedial Development Plan** for any employee who receives an "unsatisfactory" or "below" rating at either the Stage B Progress Review or the Stage C annual Review, so that they have the opportunity to achieve a "satisfactory" or "meets" rating.

Chapter Outline

This chapter describes each of the steps in the Annual Review in detail. It covers:

- How to prepare for the Stage C meeting
- The five steps of Stage C
- Ending Stage C and preparing for next year's evaluation cycle
- Stage C check list

How to Prepare for Stage C

Before you hold the Stage C meeting, both you and the employee should prepare for this meeting. There are several things you and the employee need to think about and do to get ready for Stage C.

1. Make sure the employee has a copy of his or her EPRS form and the rating scale before the Annual Review meeting.

2. Ask the employee to review the job duties and criteria on his or her EPRS form before the Annual Review meeting.

3. Ask the employee to think about his or her performance for each job duty listed on the EPRS form, and for overall performance for the year.

4. Review the employee's performance and any notes you may have to see how the employee is doing the job. Compare these to the duties and criteria on the EPRS form.

5. **In pencil**, rate the employee on the EPRS form. **Do not** make any final decisions on the ratings until you have met with the employee and discussed his or her performance. Keep an open mind and listen to what the employee has to say before making the ratings.

6. Think about what types of employee development activities you may be able to offer the employee.

7. **Talk to the reviewer** about your thoughts on the ratings **before** you meet with the employee.

8. Find a quiet, private place to hold the Annual Review.

Now you are ready to start Stage C.

Notes

The 5 Steps of Stage C: Annual Review

Step 1. Begin the Annual Review meeting

You should start the Annual Review meeting by going over what will happen in this Stage of EPRS so that the employee knows what to expect.

1. Here is what you might say to the employee.

   - *You and I have used EPRS to plan your work and to go over your job performance during the year. So, we both should have a good idea how you are doing.*

   - *The main purpose of this meeting is to review your work for the year and to discuss how you performed over the whole year. A second purpose is to help you think about and plan for your career development, if you want to do this.*

   - *At this review we will do five things:*
     - *We will review the rating scale.*
     - *We will discuss your job performance.*
     - *After that, we will fill out the EPRS form and I will rate your job performance for the whole year.*
     - *We will discuss employee development and, if you want to, together we will write an employee development plan.*
     - *Then we will sign the EPRS form, and you will be able to add your own comments.*
     - If the overall rating for the year is "unsatisfactory" or "below", we will develop a Remedial Development Plan.
   - *After we are done, the reviewer will make a final rating and sign the form. You will then sign the form. If you wish, you may again add any comments of your own to the evaluation. When the form is completed, I will give you a copy of your EPRS form.*

2. You should also explain to the employee that there are two ways to appeal the evaluation. Union members can use the appeal procedure of the Collective Bargaining Agreement if they receive an overall rating of **"unsatisfactory"** or **"below"** expectations. Civil service employees may appeal either to the Civil Service Commission **or** through their Collective Bargaining Agreement to the Merit Valuation Panel.

3. Before going on to Step 2 keep these things in mind.

   - You should remain "open minded" and listen carefully to what the employee has to say about his or her performance. The employee may know most about the details of what he or she is doing day-to-day.

   - Remember that you will start planning for next year as soon as you finish this Stage. Don't try to do both things in one meeting. Planning for the next year is important enough to have a separate meeting which looks only to the next year.

Step 2. Discuss and rate performance for each duty

This is the main part of the meeting. Make sure you and the employee have a copy of the EPRS form and the rating scale.

1. Go over the rating scale which you gave the employee before the meeting. Talk about the difference between "satisfactory" and "unsatisfactory", in general. Emphasize that "satisfactory" covers a very wide range of job performance. Ask the employee if he or she understands these ratings.

2. Turn to the back of the EPRS form. Discuss each duty separately, and then rate each duty. For each duty:

   - Go over the job duty and the criteria for that duty. Ask the employee how he or she has been doing on this job duty. Ask for details about job performance.

   - Explain your view of how the employee has performed that duty. Be as specific as possible. If you need time to get more information, you may need another meeting.

   - **Talk about specific job performance, not personalities**.

   - Focus on the positive. This will help the employee know exactly what he or she has done right.

   - Choose the rating **you** think is best for each duty. Reread the rating scale definitions **before** making the rating.

   - Talk about how you and the employee agree and disagree. Keep to the important parts of the job, not unimportant details. For example:

     I feel you earned a "satisfactory" for Duty 1 for exactly the reasons you just gave.

     I agree that you did very well on Duty 2, and gave you "satisfactory" on Duty 2. Here are my reasons...

     Duty 3 must get an "unsatisfactory" rating. When we talked last month we agreed this part of your work would have to be done better in order to get a "satisfactory".

     I gave Duty 4 an "unsatisfactory" rating. Here are my reasons...

     You did better than you think on Duty 5. There was a problem last month, but your performance over the whole year was better than that. I gave you a "satisfactory" on Duty 5.

3. Write down your rating for each duty.

   - Be sure you circle the word "satisfactory"/"unsatisfactory" or "exceeds"/"meets"/ "below" for each duty. You will find these words next to the words "Annual Review" near the bottom of each box on the back of the form.

   - You may comment on any rating. However, you must explain a rating of "unsatisfactory" or "below" in the space under the progress review rating. (See the example below).

Here is an example of part of the EPRS form, filled out with ratings and comments for each duty.

Example of Annual Review Ratings for Two Job Duties

Duty : __3__ Telephones information into central office/other field offices on a routine basis to provide daily/weekly updates on activities/assignments.

Performance Criteria: (Performance is successful if:) a. information is provided accurately
b. information is telephoned promptly/on schedule.

Actual Performance:

Progress Review: satisfactory unsatisfactory
exceeds meets below

Progress Review Comments: *Effective 8/8/95, Natalie took on this important new responsibility. Based on initial reports from the CO and the Holyoke Office, this Phone-in procedure has been working out very well due to Natalie's initiative and reliability.*

Annual Review: satisfactory unsatisfactory
exceeds meets below

Annual Review Comments: *There were two instances in the 3rd quarter where Section 12 violations reported by an Inspector were never phoned in. However, Natalie's performance of this duty over the entire period has certainly met the criteria.*

Duty: __4__: Processes incoming mail, memoranda, packages, etc. by receiving/sorting/stamping/routing/distributing materials received to ensure prompt receipt by addressee.

Performance Criteria: (Performance is successful if:) a. mail is properly processed and distributed.
b. mail is processed and distributed within prescribed deadlines.

Actual Performance:

Progress Review: satisfactory unsatisfactory
exceeds meets below

Progress Review Comments:

Annual Review: satisfactory unsatisfactory
exceeds meets below

Annual Review Comments

When you have discussed and rated all the duties, go on to Step 3 where you discuss and rate overall job performance.

Notes

Step 3. Discuss and rate overall job performance

Next you evaluate how the employee has done overall, as you did in the mid-year review.

1. Ask the employee to think about how he or she has performed overall on the job for the past year. Then ask the employee to let you know what he or she thinks about his or her overall job performance.

2. Ask the employee if he or she did important work which is not written on the EPRS form. If so, you might describe this work in the comments section on the front of the EPRS form, in Section C.

3. Tell the employee how you feel he or she has performed overall.

4. Discuss how you agree or disagree.

5. Fill in the employee's attendance at the bottom of Section C on the front of the EPRS form.

6. Rate the employee's overall job performance. Use your best judgment. Reread the rating scale definitions before making this rating. The overall rating does not have to be an average of the ratings on all the duties. Some duties may be more important than others or done more frequently. (If one duty is significantly more important than the other duties, this should be made known to the employee during Stage A.) You should rate the employee based on all the duties assigned, even if they are not written on the EPRS form. But, it is very unusual to give an employee an "unsatisfactory" or "below" based on duties not listed on the EPRS form -- and such a decision would require written justification. When you make the overall rating think about the employee's performance over the whole year.

7. Circle the word “”exceeds”, “meets” or “below”; or "satisfactory" or "unsatisfactory" next to the words "Annual Review Summary Rating" in Section C on the front of the EPRS form.

8. You may comment on any rating. You must explain a rating of "unsatisfactory" or "below" in the space under the rating in Section C and a Remedial Development Plan must be created. A sample of this is below.

Note on Attendance: There is a place on the front of the form where you should list attendance information. Poor attendance should only affect the performance rating if job performance is affected. Attendance problems which do not lower job performance should not lower the rating. Poor attendance should be dealt with through the corrective discipline process, if necessary.

Notes

Example of Annual Review Overall Rating

C **ANNUAL REVIEW**: Employee and supervisor meet to evaluate job performance

☐ Discuss job performance over whole year

☐ Rate overall performance for entire year

☐ Rate performance for entire year for each duty

☐ Formulate a Development plan at the option of the employee:

Plan attached: ☐ yes ☐ no

Annual Review Summary Rating: satisfactory unsatisfactory meets exceeds below

Supervisor's Comments (explain ratings of exceeded or below expectations, unanticipated contributions, areas of improvement and unusual attendance patterns): *Natalie has proven to be quite a resource to this office since her transfer here last July. Our field inspectors new rely on her as a key link for conveying operational and administrative information to the Central Office.*

Supervisor:_____
signature/date

Employee: I ☐ agree ☐ disagree with this evaluation.
Employee's Comments:

Employee:_____
signature/date

Reviewer's Determination: On the basis of my review I have determined that the employee's rating is:

satisfactory unsatisfactory meets exceeds below

Reviewer's Comments: *I join with Natalie's supervisor in commending her for the role she has assumed at the Langley Office.*

Reviewer:_____
signature/date

Employee: I ☐ agree ☐ disagree with the reviewer's determination. Employee's final comments:

Employee:_____
signature/date

Attendance: Number of days sick leave used__6__ Number of days off the payroll__0__ Number of days tardy__0__

Now you and the employee should go on to Step 4 and talk about employee development.

Notes

Step 4. Discuss and write down an employee development plan

After you have completed the EPRS ratings, you should talk with the employee about future job goals and suggest an **Employee Development Plan**. An Employee Development Plan is a written plan formulated by you and the employee. This plan lists actions which can lead to learning new job skills which can be used for the present job, for future job goals or for general career development.

Employee development plans are a help to the employee, to you and to the agency. The employee is improving and increasing job skills and may be preparing for other job goals. You have a better educated and skilled employee to meet your work unit needs, and the agency has an employee who may now have the skills to go on to other jobs in the agency. Everyone benefits.

Even though you will only develop a plan with an employee if he or she wants one, you should prepare what you might suggest to the employee.

When you prepare for the Annual Review meeting, talk with the reviewer and the department or agency training staff, if there is one, to find out about the kinds of development activities which are available. This is also the time to check with the reviewer for his or her ideas about development for this employee.

Be sure that you only offer development activities that you can actually provide. If you promise an employee that he or she can attend a special training program, and then find out your agency does not have the funds or time available, you are both disappointed. Find out what you can deliver before promising anything.

1. **Only the employee may decide to write a development plan**. It is the employee's choice. Ask the employee if this is something he or she is interested in doing. Talk about the positive things that might come from having a plan.

2. In the meeting, you should discuss:

   - What a development plan is
   - Benefits to the employee
   - Benefits to the agency
   - Types of development activities available

3. If an employee wants a development plan, together you and the employee should:

   a. Discuss why the employee wants the plan, and what kind of career goals he or she has.

   b. Talk about the different kinds of development activities available to the employee, such as:

      - On-the-job training, for skills that can be taught at work by observing other employees or trying new activities
      - Specific skill or technical training, such as computer use, typing, memo writing, counseling
      - Conferences or seminars relating to the job
      - Career advancement training, such as supervisory training, accounting
      - Courses given by the Human Resources Division Training
      - Courses at state colleges and universities, using the Tuition Remission Program for either single courses or working towards a degree
      - Courses developed as a result of the collective bargaining agreements
      - Career counseling sessions
      - Other kinds of development

   c. Remind the employee that any training or development program should be consistent with the policies of the agency.

   d. The employee may always decide to pay for education and training himself or herself. In this case, as with any plan, it is important for you to support these efforts.

   e. Discuss which of the development options might best meet the employee's needs.

   f. Emphasize that the plan should lead to growth in the current job or prepare the employee for future job responsibility.

   g. On the Employee Development Form, or on a separate piece of paper, you and the employee should write down the plan, including the possible timetable for the activities.

   h. You and the employee and the reviewer should all sign and date the plan, make copies of it for each of you, and attach it to the EPRS form.

When the plan is completed, you should place a check in the box marked YES on the front of the EPRS form under Stage C, "Formulate a Development Plan".

A development plan can be used to encourage employees to continue to grow and to improve performance, and as a way to recognize good performance.

Example of Completed Employee Development Plan

EMPLOYEE DEVELOPMENT PLAN

NAME:_____ SUPERVISOR:_____

AGENCY:_____ LOCATION:_____

POSITION:_____

EVALUATION YEAR:_____ DATE:_____

Goals: (what the employee is working to accomplish)

Plan:

Development Activity (Which development activity will be done)	**Location** (Where development activity will be done)	**Planned Date(s)** (When will development activity begin and end)

Employee Comments:

_____ _____

Employee's Signature Date

Supervisor's Comments:

_____ _____

Supervisor's Signature Date

Reviewer's Comments:

_____ _____

Reviewer's Signature Date

Step 5. Sign the EPRS form

As in Stages A and B you and the employee and the reviewer must sign the front of the EPRS form. In this case the signatures are placed in Section C, **Annual Review**.

1. There is a check list in Section C (it has 4 small boxes). Check off each box to show that you have finished that part.

2. Explain to the employee what signing this section means.

   - **Your signature** means that you have done the ratings and discussed them with the employee, and you offered the employee a chance to write a development plan.

   - The **employee's signature** means the employee understands the evaluation and the comments written on the EPRS form and has made a choice about the development plan. The employee's signature does not necessarily mean he or she agrees with the evaluation. Therefore,

     Ask the employee to check "agree" or "disagree" to show if he or she agrees with your ratings. If the employee does not agree with your ratings, he or she should make comments in the space marked "employee comments", or attach his or her comments to the form, and then sign the form. If the employee refuses to sign the form, note this in your comments and give the form to the reviewer.

   - The **reviewer's signature** means that the reviewer read your evaluation and any comments attached to the form and then made the final annual review ratings and comments.

   - Again, ask the employee to check "agree" or "disagree" to show if he or she agrees with the reviewer's ratings. If the employee does not agree with the reviewer's ratings, he or she should make comments in the space marked "employee comments", or attach his or her comments to the form, and then sign the form. If the employee refuses to sign the form, note this in your comments.

3. Get the required signatures in Section C.

   - After receiving either your evaluation or the reviewer's evaluation, the employee may ask for time to think about his or her own comments. In this case, give the employee two or three work days to do this.

4. After the form is signed, keep a copy and **give a copy to the employee** and the reviewer. Now you should send the original to your personnel office.

Before you end your meeting, you should prepare the employee for Stage A, Performance Planning, for the next year.

Example of Completed Form
The Commonwealth of Massachusetts
EMPLOYEE PERFORMANCE REVIEW FORM

Name:_____ Evaluation Year:_____
Agency:_____ Location/Unit:_____
Job Title:_____ Functional Title:_____
Supervisor:_____ Reviewer:_____

The employee and supervisor should consult their EPRS Guide for a full explanation of the purpose and the process of employee performance review. Detailed instructions for completing this form are presented in the EPRS Supervisor's Guide.

A **Performance Review**: Employee and supervisor meet to plan the work for the year.

☐ Discuss contributing role of employee in unit ☐ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current position description and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse side may be used if more space is needed.

Signatures:_____ _____ _____
Employee/Date Supervisor/Date Reviewer/Date

Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

B **Progress Review:** Employee and Supervisor meet to help the employee meet criteria

☐ Discuss progress for each duty ☐ Assign advisory rating for each duty

☐ Assign advisory rating for overall performance

Progress Review Summary Rating: ____ satisfactory ____ unsatisfactory *, or
____ exceeds ____meets ____ below* *Create Remedial Development Plan

Supervisor's Comments: *Natalie is adapting well to our procedures here at the Langley Office.*

Signatures:_____ _____ _____
Employee/Date Supervisor/Date Reviewer/Date

Comments Attached: ☐ yes ☐ no ☐ yes ☐ no ☐ yes ☐ no

C **Annual Review:** Employee and supervisor meet to evaluate job performance

☐ Discuss job performance over whole year ☐ Rate performance for entire year for each duty

☐ Rate overall performance for entire year ☐ Formulate a Development Plan at the option of the employee-plan attached: ☐ yes ☐ no

Annual Review Summary Rating: ____satisfactory ____unsatisfactory*, or
____exceeds ____meets ____below* * Create Remedial Development Plan

Supervisor's Comments (explain ratings of "unsatisfactory", unanticipated contributions, areas of improvement and unusual attendance patterns): *Natalie has proven to be quite a resource to this office since her transfer here last July. Our field inspectors now rely on her as a key link for conveying operational and administrative information to the Central Office.*

Supervisor:_____
Signature/Date

Employee: I ☐ agree ☐ disagree
Employee Comments:

Employee:_____
Signature/Date

Reviewer's Determination: On the basis of my review I have determined that the employee's rating is:
satisfactory unsatisfactory meets exceeds below

Reviewer's Comments: *I join with Natalie's supervisor in commending her for the role she has assumed at the Langley Office.*

Reviewer:_____

Employee: I ☐ agree ☐ disagree with the reviewer's determination. Employee's final comments:

Employee:_____

Attendance: Number of days sick leave used__6__ Number of days off the payroll__0__ Number of days tardy__0__

Step 6. Create Remedial Development Plan

The purpose of the EPRS Remedial Development Plan (RDP) is to assist employees who have job performance problems. If an employee receives an overall rating of "below" or "unsatisfactory" at Stage B, or if the Supervisor anticipates that a "below" or "unsatisfactory" rating will be given at the Stage C Final Review, a RDP is to be **formulated jointly** by the supervisor and the employee.

The guidelines for developing a RDP are as follows:

- Any employee who receives an "unsatisfactory" or "below" evaluation will be re-evaluated 30 days after the completion of Stage B and/or Stage C. The agency will place in the employee's file a RDP. The employee will be re-evaluated every thirty (30) days until a "satisfactory" or "meets/exceeds" rating is achieved or six months pass, whichever is first.

- Employees that may be nearing an "unsatisfactory" or "below" rating will be counseled by his/her supervisor three (3) months in advance of their final stage of the evaluation as to the specific areas that must be improved and what they must do to attain a "satisfactory" or "meets/exceeds" rating.

- During the process of the re-review, the employee who continues to receive "unsatisfactory" or "below" ratings can make a one-time appeal of that re-review rating to the Merit Arbitration Board. This appeal must be filed within ten (10) days of the last review rating. Any decision in favor of the employee will be from the month of the appeal forward. Such appeal may not be filed if the employee has already filed an appeal at the time of the final unsatisfactory review.

- Once the employee receives a "satisfactory" or "meets/exceeds" evaluation during the re-review process, he/she becomes eligible for the denied step and/or denied salary increases effective from the date of receiving the "satisfactory" or "meets/exceeds" rating. The employee's anniversary date for step purposes shall not be retarded upon receiving the "satisfactory " or "meets/exceeds" rating.

- Any employee who may be adversely impacted by an untimely evaluation shall be made whole upon the completion of the performance review and upon achieving a final rating of "satisfactory" or "meets/exceeds".

- All financial considerations (i.e., merit increases, step rate increase) are based on the employee's most recent, final annual evaluation.

- When work-related circumstances occur over which the employee/agency has no control, the employee is not to be prevented from attaining an overall rating of "Sstisfactory" or "Mmets/exceeds".

Ending Stage C and Preparing for Next Year's Evaluation Cycle

Your planning for the next evaluation cycle will start very soon after you finish Stage C. Before you end Stage C, **set a time to meet with the employee to begin Stage A**, Performance Planning, for the new year.

Be sure you keep a copy of the employee development plan, if you and the employee wrote one. You will attach it to the employee's new EPRS Form when it is developed in Stage A of the new year.

This finishes Stage C.

Here is a check list of the steps in Stage C. Use it to be sure you have done all of them.

Check List for Stage C

1. Prepare for the Annual Review meeting..... ____
2. Review Stage C with the employee..... ____
3. Discuss and rate performance for each duty..... ____
4. Discuss and rate overall job performance..... ____
5. Discuss and write down an employee development plan if the employee wants to do this..... ____
6. Sign the form and get signatures ..... ____
7. Give a copy of the signed EPRS form to the employee and place the original in his or her personnel file..... ____
8. Create a Remedial Development Plan if necessary..... ____
9. Set a time for next year's Performance Planning meeting..... ____

Addition to Chapter Three:
Role of the Reviewer for Stage C

In Stage C the reviewer helps the supervisor get ready for the Annual Review. The reviewer goes over the EPRS form and makes the final ratings.

Help the supervisor prepare for EPRS

The reviewer should:

1. Explain how to use the EPRS rating scale for the duties and criteria on the employee's EPRS form. If asked, the reviewer should explain:

    - How to rate an employee whose performance has improved greatly in the last few weeks.
    - How to avoid simple averaging of the ratings in making the overall rating.

2. Explain how attendance affects the ratings.

Review the results of Stage C

Here the reviewer makes sure that the results of Stage C make sense. When the EPRS form is given to the reviewer, the reviewer should ask:

1. Does the material on the EPRS form make sense?

- Are the ratings consistent with job performance and with the performance criteria?
- Are the comments logical and related to job performance and the performance criteria?
- Is there consistency of ratings across supervisors?

2. If an employee development plan was written:

- Does the work unit have the resources to carry out the plan?
- Is the employee development plan workable?

3. Was the EPRS form filled out correctly?

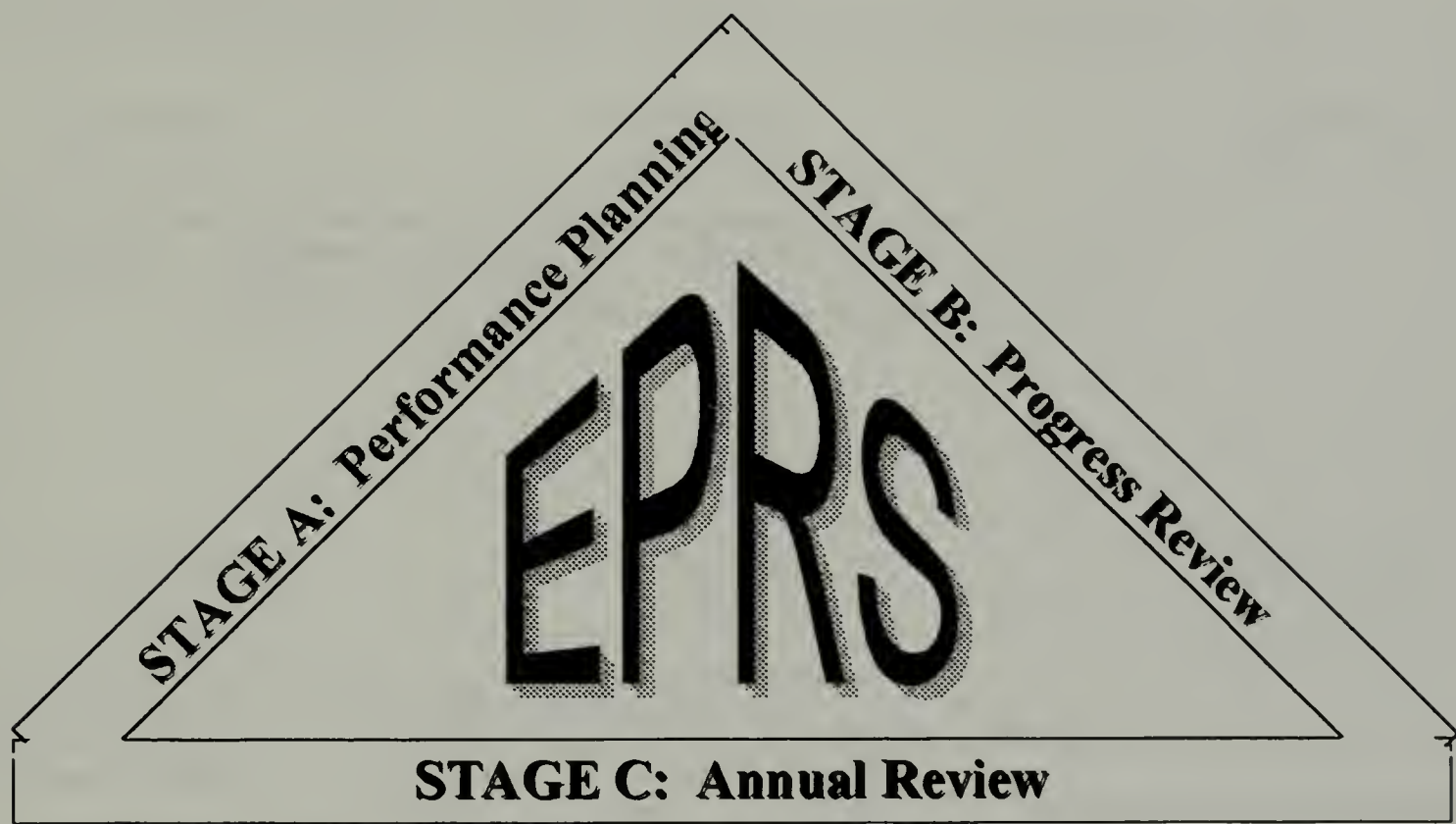
    - Was each duty rated and were comments made as needed on the EPRS form?
    - Was the overall rating completed on the front of the form, and comments made where needed (for "unsatisfactory" ratings)?
    - Is the employee's attendance filled in?
    - Is the form signed by the employee and supervisor?
    - If developed, is an employee development form attached?

4. Was a Remedial Development Plan created for an employee whose overall rating was "unsatisfactory" or "below"?
   - Was the RDP form completed with signatures from the employee, supervisor, and reviewer?
   - Was time scheduled for the employee and supervisor to meet (within 30 days) to review the employee's progress with the RDP?

Make the final rating

The reviewer makes the final rating, based mainly on the supervisor's ratings, the reviewer's knowledge of the employee's performance and on the comments on the form. The reviewer must write a comment on the form if the final rating is "unsatisfactory" or "below". If the reviewer's final rating is different from the supervisor's, the reviewer should discuss this with the supervisor. Then a joint meeting of the employee and supervisor and reviewer **must** be held for the reviewer to explain the new rating.

Notes



APPENDIX A

Forms

The Commonwealth of Massachusetts
EMPLOYEE PERFORMANCE REVIEW FORM

ame: _____ Evaluation Year: _____

cy: _____ Location/Unit: _____

Title: _____ Functional Title: _____

ipervisor: _____ Reviewer: _____

e employee and supervisor should consult their EPRS Guide for a full explanation of the purpose and the process of employee performance review. Detailed instructions for mpleting this form are presented in the EPRS Supervisor's Guide.

A Performance Planning: Employee and supervisor meet to plan the work for the year

____ Discuss contributing role of employee in unit ____ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current Form 30 and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse may be used if more space is needed.

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

B Progress Review: Employee and supervisor meet to help the employee meet criteria

____ Discuss progress for each duty ____ Assign advisory rating for each duty ___ Assign advisory rating for overall performance

Progress Review Summary Rating: ____ Satisfactory ____ Unsatisfactory*, or

____ Exceeds ____ Meets ____Below* *Create Remedial Development Plan

Supervisor's Comments:

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

C Annual Review: Employee and supervisor meet to evaluate job performance

____ Discuss job performance over whole year _____ Rate performance for entire year for each duty

____ Rate overall performance for entire year _____ Formulate a Development Plan at the option of the employee - Plan attached: ____ yes ____ no

Annual Review Summary Rating: _____ Satisfactory _____ Unsatisfactory*, or

_____ Exceeds _____ Meets _____Below* *Create Remedial Development Plan

Supervisor's comments (explain "unsatisfactory" ratings, unanticipated contributions, areas of improvement and unusual attendance patterns:)

Supervisor: _____

signature/date

Employee: I _____agree _____disagree with this evaluation.

Employee's Comments:

Employee: _____

signature/date

Reviewer's Determination: On the basis of my review I have determined that the employee's rating is: ___ Satisfactory ___ Unsatisfactory, or

___ Exceeds ____Meets ____Below

Reviewer's Comments:

Reviewer: _____

signature/date

Employee: I _____agree _____disagree with the reviewer's determination. Employee's final comments:

Employee: _____

signature/date

Attendance: Number of days sick leave used_____ Number of days off the payroll_____ Number of days tardy_____

Primary Job Duties/Performance Criteria

Page_____of_____

Duty ____:

rmance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

Progress Review Comments:

Annual Review Comments:

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

Progress Review Comments:

Annual Review Comments:

---

uty ____:

erformance Criteria: (Performance is successful if:)

CTUAL PERFORMANCE:

rogress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

rogress Review Comments:

Annual Review Comments:

---

uty ____:

erformance Criteria: (Performance is successful if:)

CTUAL PERFORMANCE:

rogress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Annual Review _____ Satisfactory _____ Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

rogress Review Comments:

Annual Review Comments:

POSITION DESCRIPTION, DPA-Form 30-State
Commonwealth of Massachusetts

POSITION TITLE CODE

1. POSITION TITLE	AGENCY

2. APPROPRIATION/AGENCY CODE	POSITION NO.	REQUISITION NO.	SALARY	DATE PREPARED

3. GENERAL STATEMENT OF DUTIES AND RESPONSIBILITIES

4. SUPERVISION RECEIVED (Name and title of person from whom incumbent receives direction)

5A. DIRECT REPORTING STAFF	5B. THEIR STAFF

6. DETAILED STATEMENT OF DUTIES AND RESPONSIBILITIES

(over)

7. QUALIFICATIONS REQUIRED AT HIRE (List knowledges, skills, abilities)

8. QUALIFICATIONS ACQUIRED ON JOB (List knowledges, skills, abilities)

9. MINIMUM ENTRANCE REQUIREMENTS

10. LICENSE AND/OR CERTIFICATION REQUIREMENTS

REMARKS

SIGNATURE OF APPOINTING AUTHORITY

TITLE

AGENCY

PREPARED BY

INITIALS OF INCUMBENT

DATE

INITIALS OF SUPERVISOR

DATE

EMPLOYEE PERFORMANCE REVIEW SYSTEM

EMPLOYEE DEVELOPMENT PLAN

Name:_____ Supervisor:_____
Agency:_____ Location:_____
Position:_____
Evaluation Year:_____ Date:_____

Goals: (what the employee is working to accomplish)

-
-
-
-

Plan:

DEVELOPMENT ACTIVITY (Which development activity will be done)	LOCATION (Where development activity will be done)	PLANNED DATE(S) (When will development activity begin and end)

Employee Comments:

_____ _____
Employee's Signature Date

Supervisor Comments:

_____ _____
Supervisor's Signature Date

Reviewer Comments:

_____ _____
Reviewer's Signature Date

EMPLOYEE PERFORMANCE REVIEW SYSTEM
REMEDIAL DEVELOPMENT PLAN

Employee Name:_____ Supervisor:_____

Agency:_____ Location:_____

Position:_____

Evaluation Year:__FY_____ Date of Plan:_____ Plan Effective as of:_____

Part I

Remedial Action Plan

It is anticipated that the above named employee will receive a rating of "Below"/"Unsatisfactory" at ____Stage B ____Stage C.

In order to attain a "Meets"/"Satisfactory" rating at the next performance review meeting, the employee must:
(List specific actions that the employee must take in order to attain a "Satisfactory" or "Meets"/"Exceeds" rating. List the criteria that will measure the progress of each specific action.)

- **Action:**

  Criteria:

- **Action:**

  Criteria:

- **Action:**

  Criteria:

- **Action:**

  Criteria:

The success of this plan will be reviewed every thirty (30) days, until a rating of "Satisfactory" or "Meets"/"Exceeds" is achieved.
The date of the next review has been scheduled for:____/____/____ (no more than 30 days from the Date of Plan).

_____	_____	_____
Employee Signature/Date	Supervisor Signature/Date	Reviewer Signature/Date

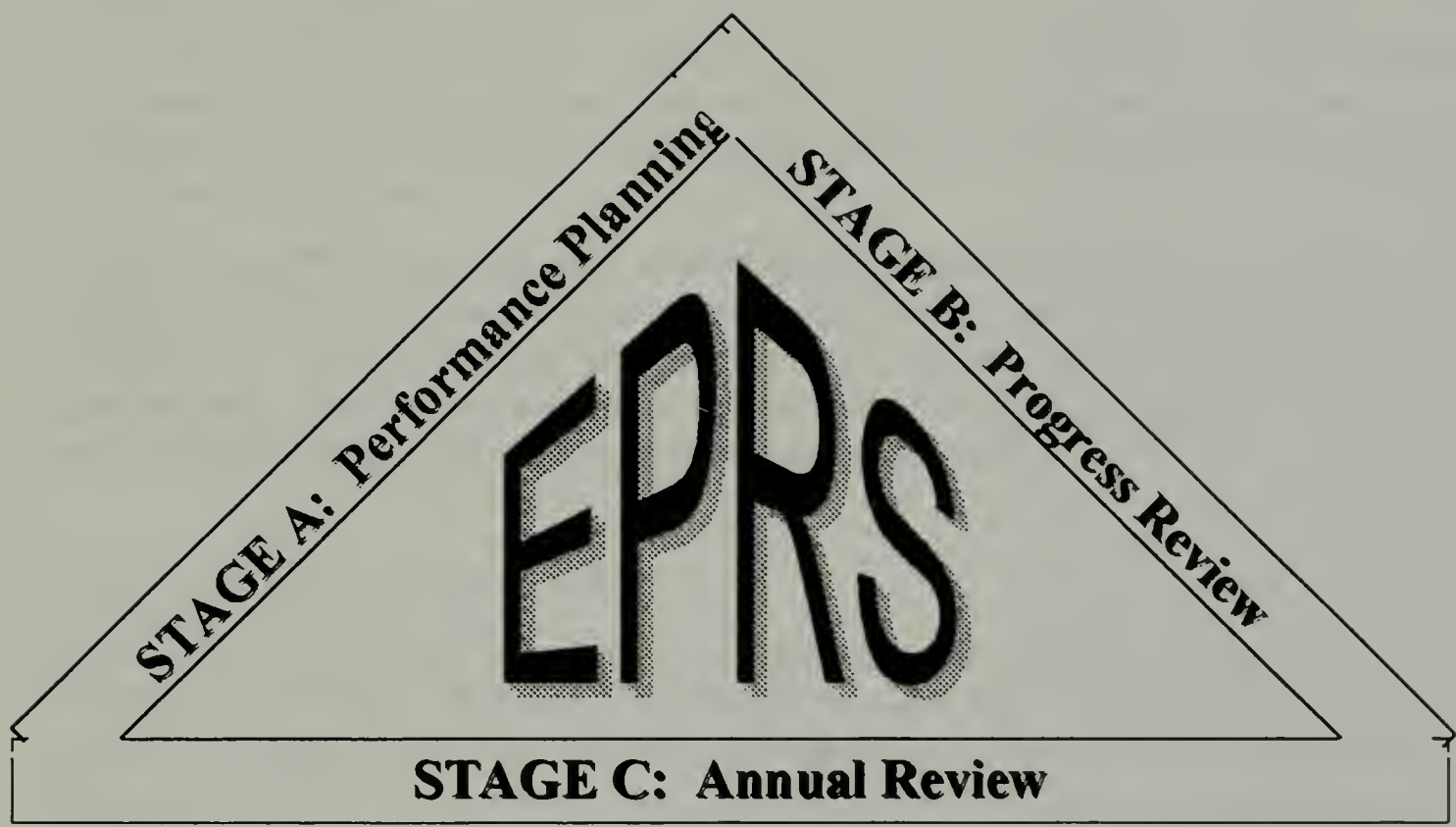
Part II (Completed up to 30 days after the RDP was implemented)

Evaluation of the Remedial Development Plan

Employee ____did ____did not receive a rating of "Meets"/"Satisfactory".

____The Remedial Development Plan was successful.
____The Employee needs to continue with the Remedial Development Plan until the time of the next review (no later than 30 days).

_____	_____	_____
Employee Signature/Date	Supervisor Signature/Date	Reviewer Signature/Date



APPENDIX B

Questions and Answers Regarding EPRS

Commonly Asked Questions Regarding EPRS

1. What is EPRS?

   A. The Employee Performance Review System (EPRS) is the name of the performance evaluation system used to evaluate the performance of state employees in titles covered by certain collective bargaining agreements.

   In 1981, the Legislature passed Chapters 699 and 767, requiring regular, annual performance reviews for *all* state employees in the Executive Branch. In 1983, a system for managers (currently called the Management Performance Review System) was implemented. In 1986 employee evaluation programs such as EPRS were first negotiated with state labor unions.

   EPRS is designed to promote clear communication between employees and their supervisors. Together, they look at job expectations and how employees meet those expectations. Where necessary, they look at ways the employee can improve job performance. Performance evaluation also provides a formal opportunity to recognize good job performance and to plan professional development.

2. What is the evaluation period for EPRS?

   A. The evaluation process is conducted on a fiscal year cycle. Typically, Stage A, Performance Planning, begins with the start of the fiscal year in July; Stage B, Progress Review, continues throughout the year, with the formal Progress Review taking place mid-year (or mid-cycle) in January; and Stage C, the Annual Review, takes places at the end of the fiscal year, in June.

3. When does the process begin for a new employee?

   A. Within 10 days of the employee's starting the new job, the supervisor should meet with the employee to begin Stage A, Performance Planning, of EPRS.

   For employees hired before March 31st, the first EPRS evaluation period will be shorter than that of longer-term employees, but it will be treated as a complete evaluation cycle. Stage A, Performance Planning, will begin within 10 days of hire. The formal Stage B, Progress Review should be conducted mid-way between the Stage A and Stage C meetings, but always before the end of the employee's probationary period. And Stage C, Annual Review, will be conducted in June.

   For employees hired on or after March 31st of the year, the EPRS Stage A, Performance Planning meeting will be held within 10 days of the employee's starting the new job, but the cycle itself will stretch to include the next fiscal year. Therefore, the first annual cycle for a new employee who begins employment after March 31st may last from twelve to fifteen months -- until the following June 30th. As previously stated, a formal Stage B, Progress Review should be conducted before the end of the employee's probationary

period. In this situation, due to the length of the cycle, it is particularly important that the supervisor conduct at least one other formal Progress Review with the employee prior to three months before the end of the cycle.

4. How many times will an employee be formally evaluated within a 12-month period?

   A. Under usual conditions, once. If necessary, an employee may be evaluated a maximum of two times in a 12-month period. A completed evaluation occurs when all three Stages have been completed. The mid-year progress review is not considered a formal evaluation.

5. How is the completed evaluation form used?

   A. The EPRS form is an official document which an agency may use when:
   - Deciding if an employee will get a step raise and/or salary increase
   - Making decisions about promotions, demotions, transfers, reassignment or other job assignment
   - Determining necessary job training or development
   - Considering disciplinary action

6. What if the immediate supervisor leaves the job during the year? Who then will rate the employee's performance at the end of the year?

   A. The old supervisor should hold a formal (written) Progress Review before he/she leaves for another job. Whether or not this is done, the new supervisor should make a note on the EPRS form and rate the employee. In making this rating, the new supervisor should consult with others to try to get the best information on which to judge the employee's job performance. In any case, an employee should be rated on the duties and criteria on his/her EPRS form, even though the supervisor has changed. At the beginning of a new supervisor's assignment, the new supervisor should meet with the employee to review the duties and criteria, discuss and make any necessary changes, and schedule future Progress Review meetings. Any new duties and criteria will apply only to performance from this time to the end of the year.

7. What if an employee is promoted during the year?

   A. Whenever there is a change in job titles or a complete change in job duties (i.e., promotion, transfer, termination or resignation), an EPRS Progress Review should be conducted. An employee who is promoted or leaves during the year should go through a formal (written) EPRS Progress Review before he/she leaves or is promoted.

8. What if an employee has more than one supervisor?

A. When an employee has more than one supervisor, one of them should be designated to complete the EPRS form and evaluations. All people who supervise that employee should meet with the designated supervisor to include duties and criteria for their areas, on the form. The designated supervisor should consult with the other supervisors before the Progress Review and Annual Review meetings.

9. What will an employee be held responsible for in the evaluation process? Will an employee be required to do the main job duties listed on the EPRS form or will he/she be responsible for all job duties included on Form 30?

   A. Every employee is responsible for performing all assigned duties. The Form 30 is the official description for a given job. It must reflect the employee's actual job duties. Supervisors are responsible for assigning only duties consistent with the class specification. Additions may be made to the duties on the EPRS form when a duty not currently on the EPRS form becomes one of the more important or most frequently performed duties. If an employee is assigned work consistent with the job specification and refuses to do the work, this is inappropriate and constitutes insubordination.

   EPRS will evaluate the main job duties that are most important and are performed frequently. However, employees are still responsible for performing all duties included on their Form 30.

10. Should the Annual Review ratings emphasize only the work done in the second half of the year?

   A. No. The Annual Review is the rating for the <u>entire year's work</u>. If there have been substantial changes since the mid-year Progress Review Ratings and the form has been changed, the supervisor rates the new activities for the period during which they were performed. Other activities should be rated for the whole year. If the performance level changes markedly over the second half of the year, it should be noted, but the whole year's performance must be considered.

11. Can an employee meet all the job expectations listed on the EPRS form and still receive an overall *Unsatisfactory* rating?

   A. It is unusual, but possible. An employee may be rated *Unsatisfactory* overall as a result of performance of duties not on the EPRS form if there is sufficient justification. This will occur only in very unusual circumstances; for example, if an employee refuses to perform several duties not listed on the EPRS form but which are on the Form 30, or if an employee performs an unlisted duty in such a way as to jeopardize the functional ability of the work unit.

12. Can an employee receive an overall rating of *Unsatisfactory* on the Annual Review if he/she did not get a warning at the mid-year Progress Review?

A. Yes. If an employee's job performance has significantly declined, he or she may deserve an *Unsatisfactory* at the Annual Review, even if the rating was *Satisfactory* at the Progress Review. However, before rating an overall performance *Unsatisfactory* at the Annual Review, the supervisor should warn the employee and give the employee a reasonable chance to improve. A supervisor should not give an overall evaluation of *Unsatisfactory* at the Annual Review without this warning and period of time for improvement. Supervisors are advised to counsel employees at least three (3) months in advance of their final stage of the evaluation as to the specific areas that must be improved and what the employee must do to attain a *Satisfactory* rating. The supervisor must develop a plan for improvement of performance with the employee at this point. (This does not apply to disciplinary matters, such as insubordination).

13. What happens if the reviewer rates the employee differently than the immediate supervisor at the Annual Review?

A. If the reviewer and supervisor meet to discuss evaluation <u>before</u> the ratings are given to the employee, this can be avoided. However, if the ratings of the supervisor and the reviewer are different, the reviewer should clearly describe why he or she feels the ratings are wrong and the employee should get the form back to comment on the change. It is advisable, when the reviewer's rating differs from the supervisor's, for the three people to meet to discuss the ratings.

14. Who has final authority for rating employee performance?

A. The reviewer, who generally supervises the immediate supervisor, has final authority.

15. Will EPRS affect the probationary period for new employees?

A. EPRS must begin within 10 days of hire and no other formal performance evaluation system may be used. Therefore, EPRS may be one of the documents or pieces of data used to support the appointing authority's decision with regard to performance during the probationary period. However, the appointing authority does not have to rely entirely on any specific evaluation system when making probationary decisions.

16. Can the probationary period be extended due to poor performance?

A. The probationary period may be extended for a period of two months for permanent appointments to civil service positions.

17. Are employees who are in unclassified positions covered by EPRS?

A. No. Unclassified positions are not covered by collective bargaining, and therefore, not by EPRS. These positions usually fall within Governor-appointed departments, constitutional offices and quasi-public agencies which are not specifically covered by

EPRS. However, some of these departments have chosen EPRS as their evaluation program.

18. Can an employee of a contractor sign the EPRS form for a state employee?

    A. No. In cases where an employee of a contractor functionally supervises a state employee, he/she should only be involved in the evaluation process as an advisor to a state supervisor. He/she may not sign the EPRS form.

19. Are Seasonal Employees covered by EPRS?

    A. If the employee is covered by a collective bargaining agreement and is employed for a minimum of 90 consecutive days, then he/she is covered by EPRS.

20. Can one relative supervise another for the purpose of EPRS?

    A. No. This would be a conflict of interest pursuant to Chapter 268A.

21. What procedures are in place to ensure that all employees receive an objective evaluation?

    A. There are several levels of review built into the EPRS system. First the reviewer will oversee the process to ensure that job duties and performance criteria are similar for employees within the same job title. The agency's EPRS Coordinator and the agency head will monitor the implementation of EPRS throughout each department. Each agency may also establish a Labor-Management Committee to resolve procedural problems. Lastly, the Civil Service Commission or the Merit Arbitration Panel established in the collective bargaining agreement will decide appeals.

22. Can performance criteria differ for two employees who have the same job duty?

    A. Yes, but the performance criteria must be similar. Criteria are standards for how the job is to be done successfully. Criteria are not based on an individual employee's ability to do the job.

23. Can a union representative be present at the EPRS planning and review meetings?

    A. The EPRS evaluation process is part of the regular agency operations between supervisors and employees, and therefore union representation is not routinely required. A union representative can,. of course, be present in situations where disciplinary action is to be taken and the employee requests such representation.

24. What steps in the EPRS process may be appealed and by whom?

A. Anyone covered by EPRS who has civil service status in their current position, as defined by Chapter 31, Section 6A and 6C, may appeal any part of the evaluation to the Civil Service Commission.

Everyone covered by EPRS may appeal a final overall rating of *unsatisfactory* through the appeal process set forth in Supplemental D of the Collective Bargaining Agreement.

Employees covered by both of the above conditions may choose only one appeal route.

25. Why are sick time, days tardy and days off the payroll recorded on the EPRS form?

A. The Executive Office of Administration and Finance and the Legislature have required that this information be collected as part of all state evaluation processes.

This information regarding the employee's attendance will affect the evaluation only to the extent that the employee's performance may suffer as a result of his/her poor attendance pattern. If attendance is an issue due to suspected sick leave abuse it should be dealt with through progressive discipline as has been the practice.

26. Should attendance be listed as a Job Duty

A. No. Job Duties are derived from the Form 30, and the Form 30 is based on the official Classification Specification. Duties listed on the EPRS form reflect those duties assigned to the employee which are most important to the agency or which are most frequently performed. The answer to the previous question addresses attendance problems.

27. What is the procedure if an employee disagrees with or refuses to sign the EPRS form?

A. The supervisor should explain to the employee that signing the form indicates that the employee understands the job duties and criteria upon which he/she is to be, or was, evaluated. The signature dopes not indicate agreement with the form. In fact, on the evaluation form itself, there is a box the employee may check off - to indicate that he or she does <u>not</u> agree with the evaluation. The employee may also attach his or her comments to the form. The reviewer and supervisor should meet with the employee to discuss the employee's objections to signing the form and to try to resolve the situation. If the employee still will not sign the form, a note should be attached to the EPRS stating that the supervisor met with the employee and that the employee was given an opportunity to sign the form but refused.

28. When an employee refuses to sign the EPRS form or refuses to participate in the EPRS process, is the EPRS form for that employee invalid?

A. No. The EPRS evaluation will still be conducted and the results will be valid. The EPRS form will become part of the employee's personnel file and will be used when making personnel decisions.

29. Will the results of the EPRS evaluation affect step and salary increases?

A. Yes. Employees must receive a *Satisfactory* or *Meets* rating on their annual EPRS evaluation for the review year ending June 30th in order to receive the next scheduled salary or step increase.

30. If an employee's performance significantly declines after the completion of the EPRS evaluation, will the employee still be eligible for a step increase on his/her anniversary date?

A. The employee may still be eligible for the increase. Like all step decisions, this is at the discretion of the appointing authority .

31. If an employee is denied a salary and step increase because of an overall rating of *Unsatisfactory* or the final evaluation, is there any way the employee can later become eligible for the increases?

A. An employee receiving an *Unsatisfactory* rating shall be placed on a remedial plan and be re-reviewed monthly for up to a maximum of six months. If the employee receives a *Satisfactory* rating, he or she shall become eligible for the denied salary and/or step increase.

32. Will those increases be retroactive?

A. No. They will become effective from the date the employee receives the *Satisfactory* rating. However, if a salary or step increase is denied because of an *Unsatisfactory* rating, and that rating is successfully appealed to civil service or the merit arbitration panel, in that case only, the reinstated salary or step increase may be retroactive.

33. Will the employee's anniversary date for step increases be affected upon receiving a delayed step increase?

A. No, an employee's anniversary date for step purposes shall not be retarded upon receiving the *Satisfactory* rating and delayed step increase.

34. What is the relationship between EPRS and Progressive Discipline?

A. The EPRS form may be used in support of progressive disciplinary action, but should not be used in place of disciplinary action.

If an employee is rated *Unsatisfactory* on his/her EPRS, the supervisor must clearly state in writing on the EPRS form, the areas he/.she needs to improve, and how, specifically, to make those improvements.

If an employee continues to fall below acceptable standards, the supervisor should begin progressive discipline (keeping in mind that progressive discipline is meant to improve performance.)

35. Does there have to be a separate supervisor and a separate reviewer or can they be the same person?

A. The supervisor and reviewer have separate and important EPRS functions. It is essential that the supervisor and the reviewer are two separate individuals. The supervisor should be a subordinate of the reviewer.

36. What does signature of the supervisor and the reviewer on the EPRS form mean?

A. When the supervisor and the reviewer sign the EPRS form, the supervisor/reviewer is attesting to the fact that:

- He/she has completed the EPRS process with his/her employee according to the guidelines detailed in the EPRS supervisor guide.
- The employee's most important duties are listed as the EPRS duties.
- The ratings given are fair, accurate and honest assessments of the employee's performance throughout the evaluation year.
- Extraordinary circumstances which may have prevented an employee from performing the EPRS Job Duties as required, have been taken into account.

37. Can quantitative criteria be used as part of the EPRS performance plan?

A. Yes. However, except where it is otherwise defined, the quantitative criteria must be the average, range, and/or the norm of production on the particular project; i.e., average number of cases closed. The supervisor and reviewer must be able to defend the validity of the quantity selected.

The quantitative measure should not be the only criteria for the particular duty, as there are often many other factors which come into play to determine whether a duty is performed and/or completed according to standard.

38. What are the guidelines for including comments on the EPRS form?

A. The supervisors must include comments on individual duty and overall ratings of *unsatisfactory* or *below* at Stage B and Stage C, as well as develop a Remedial Development Plan. Comments are very important for ratings of *satisfactory* as well, especially to clarify the area of the *satisfactory* range the employee's performance is in.

39. Who should receive copies of the EPRS form?

A. At each stage of the evaluation process, there should be at least 3 copies made of the EPRS form.

- A copy for the employee
- A copy for the supervisor (the supervisor maintains the original during the evaluation year)
- A copy for the reviewer

40. What if a new job duty is given to the employee during the year which was not assigned at the time the EPRS form was initially filled out?

A. An addendum should be attached to the EPRS form describing the duty and the criteria for successful performance, and indicating the date that duty was assigned so that it will be given appropriate weight at the time the final evaluation is completed. The supervisor and employee should both sign this addendum.

41. Should the supervisor be writing in words like "high" or "low" or drawing arrows pointing up or down near the words *satisfactory* or *unsatisfactory* in order to indicate (i.e.) "high *satisfactory*" or "low *satisfactory*"?

A. The supervisor should make comments regarding distinctions of performance in the comments section of the form.

42. Can a reviewer be in the same bargaining unit as the supervisor?

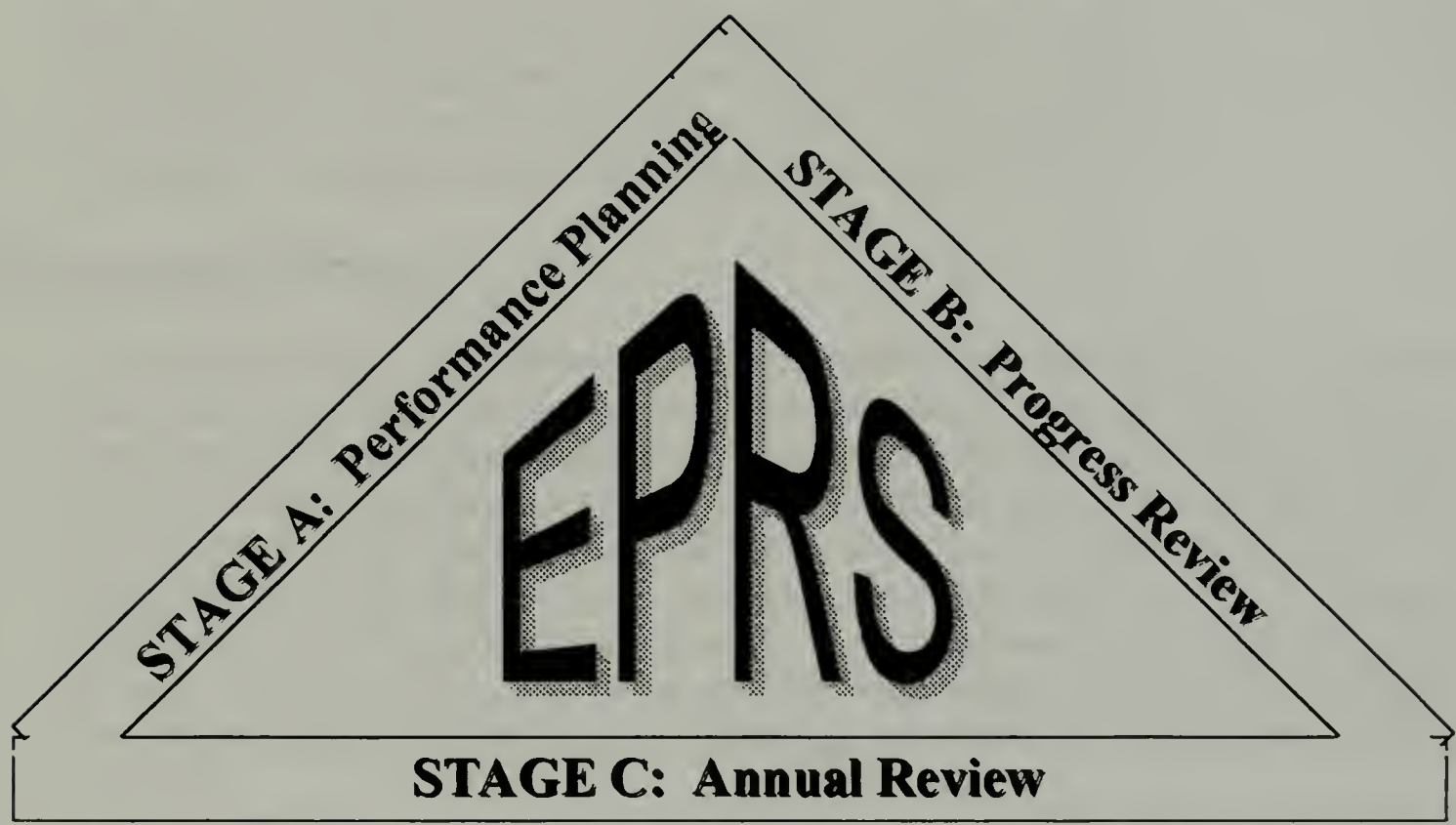
A. Yes; in fact, it is possible that the employee, supervisor and reviewer may all be in the same bargaining unit. This is because Commonwealth bargaining units include both employees and different levels of supervisor within the same unit. Although it may at times be uncomfortable, it is expected that supervisors will be able to both supervise and evaluate the performance of the people reporting to them. It is assumed that when an employee accepts the position of supervisor, he or she accepts both the benefits and the increased responsibility that goes along with that title.

43. When was the most recent change to the EPRS?

A. As part of collective bargaining negotiations with he national Association of Government Employees (NAGE), the EPRS process has been modified, effective July 1, 1998, for those covered employees in units 1, 3 and 6. The following is a list of those changes which may also be included in future collective bargaining contracts:

- A three-tiered system of "meets", "exceeds" and "below" expectations for rating employee performance will be utilized.

- A Remedial Development Plan will be required for any employee whose mid-year and /or annual evaluation is "below".
- A Performance Pilot Program will provide employees who attain an overall performance rating of "exceeds" one day off, with pay, to be utilized within six months of the receipt of the rating, with no charge to leave balances.



APPENDIX C

Information Regarding Form 30's

Guidelines for Completing Position Descriptions (Form 30)

Definitions

A Position Description (Form 30) is a written description of the duties, responsibilities and qualifications required of an individual position. This differs from the state's Class (Job) Specifications, which are written in a more general form and are intended to describe all of the positions in a given title. Positions are classified, or assigned, to a particular title, by comparing the concepts of the Form 30 to various Class Specifications to determine the best "fit". Form 30's are tools for supervisors to use on a regular basis to communicate with employees the requirements of their individual jobs. The Form 30 is also a source of information on the most important job duties required of a position, to be used by supervisors to develop performance criteria for use with EPRS.

Who Completes the Form 30

An employee's immediate supervisor is the best person to write the Form 30. Supervisors may receive assistance or input from Human Resource staff, their own supervisors or managers, and employees themselves, to complete Form 30's. Employees are asked to review and sign their Form 30's to show that they are aware of their contents. Form 30's are then filed in the agency's personnel files. When the duties of the individual position change significantly, then the Form 30 should be revised to reflect this. It is suggested that Form 30's be reviewed at least annually, at the beginning of each EPRS annual cycle, to keep them up to date. HRD does not keep central files of Form 30's, but HRD staff may request copies of them when it is necessary to review the classification of individual positions.

What is Contained in the Form 30

- Position Title: The "official class title" or "official payroll title" (such as Clerk IV or Groundskeeper II) to which the individual position is assigned, which is designated by a 5-digit payroll title code and corresponds to a particular job group and salary range in the state classification plan. Compared to this, the "functional title" of a job is the working title that may be used within an agency to more specifically describe the job, such as "Department Secretary" or "Unit Supervisor". This title may also be included in the Form 30.

- General Statement of Duties and Responsibilities: A summary of the overall purpose of the position and brief description of the duties of the job.

- Supervision Received: A description of the type and nature of supervision provided to incumbent by his/her immediate supervisor (such as close, direct, general or technical supervision), the title of that supervisor, and the way in which supervision is provided (through written and oral instructions, regular meetings, etc.).

- Direct Reporting Staff/Their Staff: The number and titles of positions directly supervised by the incumbent (such as 5 Clerk II's), and the number and titles of positions, if any, supervised in turn by the direct reporting staff. Direct reporting staff are those over whose work the incumbent has full supervisory responsibility,

including the assignment of work, training of new staff, and evaluation of job performance.

- Detailed Statement of Duties and Responsibilities: A numbered list of the duties required of the position, beginning with those that are most important to the job and/or those most frequently performed. Each duty statement should describe what is done ("Transcribes notes"), how it is done ("by using a dictaphone and word processor") and why ("in order to prepare a transcript of meetings"). Incidental duties may be grouped together at the end in a statement such as "Performs related duties such as attending meetings, responding to correspondence, etc."

- Qualifications Required at Hire: The minimum level of knowledge, skills and abilities required of a newly-hired employee to perform the job (such as "knowledge of social work principles" or "ability to write clearly").

- Qualifications Acquired on the Job: The knowledge, skills and abilities that a new employee typically learns on the job after hire (such as "knowledge of the unit's data processing software").

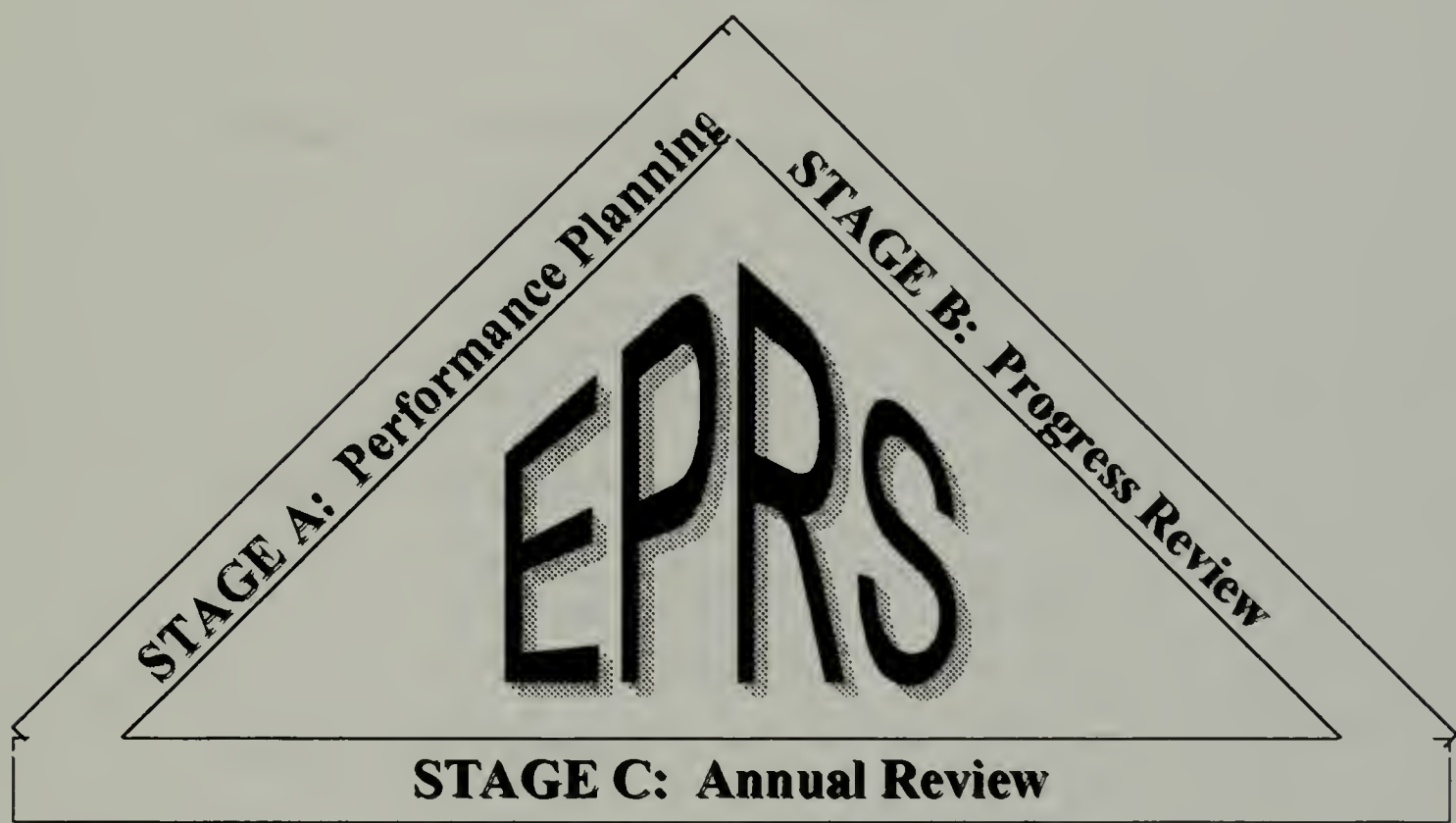
- Minimum Entrance Requirements: The minimum level and type of experience, or educational substitution, required of an individual to apply for the position (such as "two years of professional experience in the field of accounting, or a Bachelors' degree in Accounting).

- License and/or Certification Requirements: Any licensure, registration or certification requirement needed to perform the duties of the job (such as a Mass. Class 3 Driver's License).

Issues about Content of Form 30's: The supervisor has the responsibility for assigning work to and evaluating the performance of the employee and thus is primarily responsible for the content of the Form 30. The Form 30 is meant to as accurately as possible reflect the duties assigned to the particular incumbent, not the contents of the class specification for the position's title. For practical reasons, supervisors may develop one Form 30 to cover several identical positions, as long as each incumbent is expected to perform all of the duties contained in such a Form 30. If an incumbent disagrees with the content of his/her Form 30, and the supervisor or reviewer cannot resolve the disagreement, the incumbent may attach a statement explaining the area of disagreement.

Issues about Classification: If a Form 30 significantly differs from the class specification in the type of duties performed or the level of responsibility required, the position may be misclassified. This can be resolved either through the supervisor requesting a classification review of the job through his/her Human Resource Office. Agencies are encouraged initiate action to correctly classify jobs. However, this process can and should take place independently from the EPRS process; EPRS can be completed as long as an accurate Form 30 can be prepared. Incumbents who may be concerned that the accurate classification of their positions might result in a downgrading of their job should be informed that if this does happen, their own salaries would not be adversely affected.

The Commonwealth of Massachusetts
Employee Performance Review System



An Employee's Guide

July, 1998

TABLE OF CONTENTS

INTRODUCTION

Are you sometimes confused by the different priorities you set, compared to those of your boss? Do the job duties that you think you're responsible for, sometimes not match the ones your boss expects from you? Do you want guidance and feedback to let you know that you're on the right track with certain aspects of your job?

EPRS is the answer to all these questions... and many more!

The Employee Guide to the Employee Performance Review System is designed to explain the complete process of EPRS. It will illustrates how to prepare for the three stages of EPRS, what will occur at each stage, and explain the purpose of the system as a whole. A sample EPRS form is located at the back of this guide, to be used as a reference when learning about any particular stage of the process.

WHAT IS EPRS?

EPRS (**E**mployee **P**erformance **R**eview **S**ystem) is a tool designed to aid in the communication between employees and their supervisors. It is a year long process, consisting of three stages, which defines employee duties and the criteria for which job performance will be evaluated.

PURPOSE OF EPRS:

The purpose of EPRS is to assist employees in learning exactly what is expected of them on the job, as well as to ensure that they have the proper resources to enable them to perform their duties throughout the year. EPRS also helps to define exactly how an employee's job performance will be evaluated and gives an overview of how job duties, when successfully completed, will contribute to agency mission, goals and objectives.

The final evaluation form becomes part of an employee's permanent personnel record and is often used by an agency when making decisions on issues such as:

- step raises and/or salary increases
- promotions and job assignments
- job training or development
- disciplinary actions

THREE STAGES OF EPRS:

Stage A: Performance Planning starts at the beginning of each fiscal year when the supervisor and employee hold a formal meeting to determine what the employee's most important duties will be for the upcoming year and how he or she will accomplish them.

Stage B: Progress Review is conducted after six months, at which time the supervisor gives the employee an advisory rating as to how well he or she is performing their duties so far that year.

It is beneficial to the employee, the supervisor, and the communication process as a whole to also hold these meetings informally throughout the year.

Stage C: Annual Review is completed at the end of the year when the supervisor rates the employee's overall performance for the year. At this time, the supervisor and employee can also create an Employee Development Plan if the employee chooses to do so.

PARTICIPANTS:

There are three participants involved in the EPRS process:

- **Supervisor** directly oversees and rates the employees work.
- **Employee** is the person being evaluated.
- **Reviewer** is a higher level supervisor who reviews all ratings.

RATING SYSTEM:

The employee will be rated twice during the year; once at Progress Review and again at Final Review. The employee's rating is based on performance and how well he or she accomplished each of the job duties outlined at Performance Planning.

There are two different rating systems used for EPRS. One of the rating systems is commonly referred to as the "two word" system. The other rating system is referred to as the "three word" system. Only one of these system applies to an individual employee and that depends on which bargaining unit they are covered under. The table below illustrates which rating system applies to each bargaining unit.

BARGAINING UNIT	RATING SYSTEM
ALLIANCE	Two Words
COPS (Coalition of Public Safety)	Two Words
MCOFU (Mass. Correction Officers Federated Union)	Three Words
MNA (Mass. Nurses Association)	Three Words
MOSES (Mass. Organization of State Engineers & Scientists)	Two Words
NAGE (National Association of Government Employees)	Three Words

Two Word System

The ratings that apply to this system are either "satisfactory" or "unsatisfactory". A **satisfactory** rating means that the employee either met or exceeded the supervisor's job performance expectations; accomplished their duties based on their own abilities and efforts; and needed a usual or less than usual amount of supervision. This category covers a wide range of performance from barely to highly satisfactory.

An **unsatisfactory** rating means that the employee failed to meet the supervisor's job performance expectations; lacked the ability or effort to accomplish their job duties and/or agency goals; and required a high level of supervision. An employee with an unsatisfactory rating will most likely have a negative effect on the work group.

Three Word System

The ratings that apply to this system are "meets", "exceeds", or "below" in relation to the supervisor's expectations. A **meets** rating means that the employee's performance satisfied the job requirements. The employee performed according to criteria and required the usual amount of supervision. Good job performance was due to their own effort and ability. This category covers a wide range of performance from barely to highly satisfactory.

An **exceeds** rating means that the employee's performance was greatly above the job requirements. The employee went well beyond the criteria and required less than usual supervision. Outstanding job performance was due to their own effort and ability. The employee's work was superior and had an important, positive effect on the performance of the work group, overall.

A **below** rating means that the employee's performance did not meet the job requirements. The employee failed to meet the criteria and required an extremely high level of supervision. Poor job performance was due to their own lack of effort and ability. The employee's performance may have had a negative impact on the work group, as a whole.

Supervisors must always explain an "unsatisfactory" or "below" rating. Every employee has the right to appeal a rating. Union members can use the grievance appeal procedure of the union contract. Civil service employees may appeal either to the Civil Service Commission or through their union contract.

EPRS STAGES

STAGE A: PERFORMANCE PLANNING

Preparing for the Meeting

Before entering the meeting, it is helpful for the employee to review their work performance over the previous year. This gives the employee some insight as to what their upcoming job duties might be. Reviewing past work performance also allows the employee the opportunity to offer input and suggestions for the performance planning.

Take the following questions into consideration:

- What did the agency accomplish over the past year? How did I contribute?
- Did I perform my duties to the best of my abilities?
- What problems and/or stumbling blocks did I run into?
- Did I take the initiative to solve them?
- How can those problems be avoided this year?

The employee should also think about future plans they may have for themselves. Is there anything the employee is interested in learning more about in the upcoming year? Does the employee want more training so they can improve their skills or increase their responsibilities?

The employee should bring any thoughts and comments to the meeting in order to share their ideas with the supervisor. Remember... it takes input from both the supervisor and the employee to successfully complete the EPRS process.

At the Meeting

There are five steps in the Performance Planning Stage.

1) *Review of the Three EPRS Stages* At the beginning of the meeting, the supervisor provides the employee with an introduction to EPRS as well as the EPRS form. The employee should feel free to ask any questions concerning the EPRS process.

2) *Discuss the Role of the Employee in the Unit* At this point, the supervisor's goal is to help the employee understand how his or her job fits into the "big picture". To do this, the supervisor provides the employee with a copy of the agency mission, goals and objectives; and explains each. The employee will then understand what the agency is working towards and how his or her job duties help the agency to achieve its goals and objectives.

3) *Discuss and Write Down Job Duties* In this step, the supervisor and employee discuss the employee's job and write down the main job duties on the EPRS form. The employee receives from his or her supervisor a copy of the Position Description (DPA Form 30). The form should list the most frequent and important job duties for the position. The supervisor and employee will then decide which duties are most important for this year. Once the job duties are decided upon, the supervisor writes them down on the back of the EPRS form.

Example of Receptionist Duty: Represent the agency by greeting each customer who visits the agency, or who calls on the phone, in an efficient, helpful, and professional manner.

4) *Discuss and Write Down Performance Criteria for Each Duty* This step ensures that both the supervisor and employee have an understanding of what it means to say the job is being done right. There are usually 2-4 criteria for each job duty and the criteria should be: observable, clear, specific, realistic, easy to follow over the year, and similar to that of other employees doing the same work. The criteria should be discussed and then written down under the duty it applies to on the EPRS form.

The supervisor may mention that the criteria can be reviewed in a month or so, to see if they need to be revised. Allowing revisions will be helpful while the employee and supervisor are getting familiar with the EPRS process.

Example of Criteria for Receptionist Duty:

1) Incoming phone calls are answered by the third ring; avoiding voice-mail when ever possible.
2) Any callers who have questions, or require a response, should be contacted within 24 hours.
3) The receptionist's tone of voice should always be upbeat, friendly and polite.
4) Messages should be accurate, detailed and routed to the proper person promptly.

5) *Signing the Form* The form needs to be signed by the supervisor, employee and reviewer. Signing the form means the following to each party:

- *Supervisor's* signature means that the duties and criteria written on the form have been discussed with the employee and are what will be used to judge the employee's performance for the year.
- *Employee's* signature means that he or she understands the duties that are expected of them, as well as the criteria for each.
- *Reviewer's* signature means that he or she accepts the duties and criteria set by the supervisor and employee.

Besides signing the form, the supervisor and reviewer may also write any relevant comments. After all parties have signed the form, a copy is given to the employee, the reviewer and the personnel office.

Preparing for Stage B

In order to prepare for a successful Stage B, the supervisor should explain the concept of informal review meetings. Informal reviews are an important part of EPRS. These sessions are a way of "touching-base" and keeping the flow of communication clear and on-going between the formal stages. By conducting these informal meetings, the employee will know exactly where they stand with their supervisor and how they are measuring up to the goals that were set when the time does come for Stage B,. Remember that each part of the EPRS process, whether formal or informal, is designed to set the employee and their work group up for success. These meetings are a communication tool and are successful when all parties approach them with an open mind for suggestions and comments.

Together, the supervisor and employee may want to set up a schedule as to when these informal sessions will be held. Whether they are actually scheduled or not, both the supervisor and the employee are encouraged to request these meetings at any time throughout the year.

STAGE B: PROGRESS REVIEW

Preparing for the Meeting

At this point, the supervisor and employee should have met informally at least twice before Stage B has begun. If the informal review sessions were conducted and the lines of communication have been kept open since the end of Stage A, the employee will feel confident and well prepared for the Progress Review.

From the beginning of Stage A, the employee should be keeping an EPRS file which holds a copy of the EPRS form, as well as any notes the supervisor and employee have made. The employee should keep notes throughout the year on things that are going particularly well or on any problem areas that need to be addressed. It would be helpful for an employee to note any ideas they may have as to possible solutions to a problem or conflict. Other topics that should be noted in the EPRS file are: the employee's progress on projects, changes to duties, and/or additional responsibilities they've taken on. If the file remains current and thorough, the employee will be able to enter the Progress Review meeting full of ideas, comments, and a sense of their rating; along with the documentation to back it all up.

Before the meeting, the employee should actually rate their own performance. As previously mentioned, the EPRS file which the employee has compiled over the first six months can help to determine their own ratings, as well as to justify the ratings to the supervisor. The supervisor will also rate the employee's performance prior to the meeting, allowing the two parties the opportunity to compare their ratings and share their thoughts at the time of the actual meeting.

At the Meeting

There are seven (potentialy eight) steps in the Progress Review Stage.

1) *Meet Informally with the Employee* Informal review sessions are considered part of Stage B, whereas they are an important step that leads up to the actual review meeting. At these informal meetings, the supervisor will talk about issues such as:

- unusually good or poor job performance
- issues that may be hindering successful performance and possible solutions
- changes to job duties or criteria
- progress towards group objectives

If there are changes made to job duties or criteria at an informal meeting, it is necessary for the supervisor to change the EPRS form, date and initial it, and inform the reviewer of the change.

2) *Begin the Mid-Year Review* The supervisor will review what will occur during Stage B of the EPRS process.

3) *Discuss and Rate Performance for Each Duty* Step three is the main part of the mid-year progress review meeting. During this discussion, the supervisor will do the following:

- Review the rating scale, explaining the difference between "satisfactory" and

"unsatisfactory"; or "exceeds", "meets" and "below" (whichever applies).

- Review each duty listed on the back of the EPRS form and its criteria.
- Ask the employee questions such as: how he or she has been doing with the work load, have there been any problems with being able to perform job duties, and/or details of the job performance.
- Share thoughts on the employee's performance for each duty listed at Performance Planning.
- Make note of any changes that were made to job duties or criteria (if there is a change in duty, the employee will be rated on their performance up until the time the change occurred).
- Rate each duty based on how well they think the employee has performed up until this time, by circling one of the ratings found next to the words "Progress Review" located throughout the EPRS form under each duty/criteria.

It is recommended that the supervisor write a comment to explain each rating, but it is only required when the rating is "unsatisfactory" or "below". The supervisor and employee should discuss each rating.

4) *Discuss and Write Down Ways to Improve Performance* In order for the supervisor to successfully offer suggestions and help the employee with improving job performance, they should:

- Ask the employee if he or she is satisfied with their performance on each duty.
- Tell the employee whether or not they are satisfied with their performance on the particular duties; if not, state why.
- Help the employee think of ways to improve performance.
- Write down the suggestions for improvement so that the employee can refer to them over the next six months and work towards them.

5) *Discuss and Rate Overall Job Performance* Now that both the supervisor and employee have discussed job performance for each specific job duty, it is time to rate how the employee has done overall. The supervisor will most likely:

- Ask the employee to think about how he or she performed all of the job duties for the position for the first half of the fiscal year.
- Ask the employee if they performed any duties that may not be written on the EPRS form.
- Have the employee rate his or her job performance overall.
- Tell the employee how he or she feels they did overall.
- Discuss how the employee and supervisor agree or disagree on job performance.
- Make an advisory rating of the employee's overall job performance so far this year, by circling one of the ratings found next to the words "Progress Review Summary Rating" located on the front of the EPRS form.

As mentioned in Step Three, it is recommended that the supervisor write a comment to explain the rating, but it is only required when the rating is "unsatisfactory" or "below" and then a Remedial Development Plan must be implemented.

6) Update the Duties and Criteria Now is the time to update the duties and criteria, if it seems appropriate. There are two questions the supervisor and employee should consider:

1) Are the duties listed on the EPRS form still the most important for the year?
    - If a duty should be added, the supervisor will write it on the back page of the EPRS form.
    - If a duty is no longer performed, or is no longer important, the supervisor will write on the form, "No longer part of EPRS" and initial it.

2) Are the criteria for each duty still the most useful?
    - Criteria may have to change as the year goes on, especially when first getting used to EPRS.
    - If an employee is having trouble meeting criteria or getting a job done, training may be needed or the supervisor may need to change the way the job is done.
    - If a criteria is changed, the supervisor will date and initial it.

Changes to job duties and criteria should not be a frequent occurrence, but if the supervisor finds it necessary, he or she should update the EPRS form during the year and not wait for the mid-year review. The supervisor will also be aware of the fact that, criteria should not be lowered just because the employee is not performing their job right; there must be a valid reason.

7) Sign the Form As in Stage A, the supervisor, reviewer and employee must sign the front of the EPRS form in Section B, Progress Review. There are five parts to this step.

- The supervisor will check off the three boxes to show that they have discussed the progress for each duty, assigned advisory ratings for each duty and assigned advisory rating for the overall performance for the first half of the fiscal year.
- The supervisor, employee and reviewer each have the right to attach comments to the EPRS form.
- The supervisor will then explain to the employee what it means to sign this section. Each signature means the following:
    - *Supervisor's* signature means that he or she has done the advisory ratings and discussed them with the employee.
    - *Employee's* signature means that he or she understands the evaluation and the comments written on the EPRS form. If the employee does not agree with ratings, he or she should attach comments to the form and then sign the form. If comments are attached, the employee should check the box on the front of the form which states that comments are attached.
    - *Reviewer's* signature means that the reviewer has read the advisory ratings and comments and agrees with them. If the reviewer disagrees, he or she will attach comments to the form.
- The supervisor will get the required signatures from all three parties involved.
- A copy of the EPRS form is given to the employee, reviewer and the personnel office. The supervisor keeps the original.

8) Create a Remedial Development Plan The purpose of the EPRS Remedial Development Plan

(RDP) is to assist employees who have job performance problems. If an employee receives an overall rating of "Below" or "Unsatisfactory" at Stage B, or if the Supervisor anticipates that a "Below" or "Unsatisfactory" rating will be given at the Stage C Final Review, a RDP is to be **formulated jointly** by the supervisor and the employee.

The guidlines for developing a RDP are as follows:

- Any employee who receives an "Unsatisfactory" or "Below" evaluation will be re-evaluated 30 days after the completion of Stage B and/or Stage C. The agency will place in the employee's file a RDP. The employee will be re-evaluated every thirty (30) days until a "Satisfactory" or "Meets/Exceeds" rating is achieved or six months pass, whichever is first.
- Employees that may be nearing an "Unsatisfactory" or "Below" rating will be counseled by his/her supervisor three (3) months in advance of their final stage of the evaluation as to the specific areas that must be improved and what they must do to attain a "Satisfactory" or "Meets/Exceeds" rating.
- During the process of the re-review, the employee who continues to receive "Unsatisfactory" or "Below" ratings can make a one-time appeal of that re-review rating to the Merit Arbitration Board. This appeal must be filed within ten (10) days of the last review rating. Any decision in favor of the employee will be from the month of the appeal forward. Such appeal may not be filed if the employee has already filed an appeal at the time of the final unsatisfactory review.
- Once the employee receives a "Satisfactory" or "Meets/Exceeds" evaluation during the re-review process, he/she becomes eligible for the denied step and/or denied salary increases effective from the date of receiving the "Satisfactory" or "Meets/Exceeds" rating. The employee's anniversary date for step purposes shall not be retarded upon receiving the "Satisfactory " or "Meets/Exceeds" rating.
- Any employee who may be adversely impacted by an untimely evaluation shall be made whole upon the completion of the performance review and upon achieving a final rating of "Satisfactory" or "Meets/Exceeds".
- All financial considerations (i.e., merit increases, step rate increase) are based on the employee's most recent, final annual evaluation.
- When work-related circumstances occur over which the employee/agency has no control, the employee is not to be prevented from attaining an overall rating of "Satisfactory" or "Meets/Exceeds".

Preparing for Stage C

The supervisor should remind the employee that the informal progress review sessions will continue throughout the rest of the year. The employee should feel free to approach the supervisor at anytime for one of these meetings. If a RDP was implemented at Stage B, the employee and supervisor should set a date (no more than 30 days from the date of the RDP) to meet and review the employee's progress, so that a "Satisfactory" or "Meets" rating can be achieved at Stage C. Also, in preparation for Stage C, keeping a personal EPRS file with notes on accomplishments, questions and/or concerns will help the employee when the time comes for the Annual Review.

STAGE C: ANNUAL REVIEW

Preparing for the Meeting

The first thing an employee should do before entering the Annual Review meeting is to make sure he or she has a copy of their EPRS form. The employee should review the job duties and criteria listed on the form. At this time, he or she should ask themselves how they feel they performed over the entire year. Did they meet all the criteria for each job duty? If the employee carefully evaluates their own job performance and reviews any personal notes made throughout the second half of the year, they will be well prepared for what will occur during the Annual Review.

At the Meeting

There are five (potentially six) steps in the Annual Review Stage.

1) *Begin the Annual Review* The supervisor will explain what will occur during the Annual Review Meeting. He or she will also explain the two ways to appeal an evaluation. If a union member receives a rating of "unsatisfactory" or "below", they can use the grievance appeal procedure of the union contract. Civil service employees may appeal either to the Civil Service Commission or through their union contract.

Both the supervisor and the employee should enter the meeting with an open mind so that they hear each other's suggestions and hopefully benefit from them.

2) *Discuss and Rate Performance for Each Duty* This is the main part of the meeting.

- The supervisor will review the rating scale with the employee; explaining the difference between the different ratings.
- The supervisor and employee will discuss each duty separately. The supervisor will review the criteria for each duty and may ask the employee for details about the job performance.
- The supervisor will then explain their view on the employee's performance for each duty and give the ratings for each.
- Once both parties have expressed their opinions and the ratings have been given for each duty, the supervisor and employee should discuss the areas in which they both agree and disagree.
- Now the supervisor will circle one of the ratings found next to the words Annual Review in each Job Duty/Performance Criteria box located on the back of the EPRS form.
- As mentioned before, the supervisor may make any relevant comments in regards to each duty and its rating. If the rating is "unsatisfactory" or "below", the supervisor is required to explain the rating in writing.

3) *Discuss and Rate Overall Job Performance* Just as in the mid-year review, the supervisor must rate the employee's overall job performance only this time, it will be for the entire year.

- First, the employee will discuss how he or she feels about their overall job performance for the entire year. At this time, they should inform the supervisor of any important work they did that was not on the EPRS form.
- Next, the supervisor will inform the employee how he or she feels about the employee's overall job performance for the year.
- The supervisor and employee should discuss how their opinions agree and disagree.
- The supervisor will then fill in the employee's attendance at the bottom of section C on the front of the EPRS form.
- Now is the time for the supervisor to rate the employee's overall job performance for the entire year. He or she will be rating the employee's performance based on all the duties assigned throughout the year, even if the duties are not written on the EPRS form.
- Once the supervisor has rated the overall performance, he or she will circle either "satisfactory"/"unsatisfactory", or "exceeds"/"meets"/"below" next to the words "Annual Review Summary Rating" in Section C on the front of the EPRS form.
- The supervisor is encouraged to make comments on any of the ratings, but is required to comment on an "unsatisfactory" or "below" rating and create a Remedial Development Plan.

4) *Discuss and Write Down an Employee Development Plan* An Employee Development Plan is a written plan for the employee's future job goals. The plan is developed by the supervisor and employee only if the employee wishes to do so.

The employee, supervisor and agency all benefit from a development plan. The employee will be improving and increasing job skills and may be preparing for other job goals. The supervisor will have a better educated and skilled employee. The agency will have an employee who may acquire the skills to go on to other jobs in the agency.

During the Annual Review meeting, the supervisor will explain to the employee:

- the benefits of a development plan for the employee
- the benefits of a development plan for the agency
- the types of development activities that are available

If the employee decides to develop a plan, the supervisor will then:

- Discuss why the employee wants the plan and what kind of career goals he or she has.
- Talk about the different kinds of development activities available to the employee, such as:
    - On-the-job training, for skills that can be taught at work by observing other employees or by trying new activities.
    - Specific skill or technical training, such as computer use, typing, memo writing, counseling.
    - Conference or seminars relating to the job.
    - Career advancement training, such as supervisory training.

    - Courses given by the Training Group in the Human Resources Division.
    - Courses at state colleges and universities, for eligible employees, using the Tuition Remission Program for either single courses or working towards a degree outside of regular work hours.
    - Courses developed as a result of the collective bargaining agreements.
    - Career counseling sessions.
- Remind the employee that any training or development program must be consistent with the policies of the agency.
- Discuss which of the development options might best meet the employee's needs.
- Emphasize that the plan should lead to growth in the current job or prepare the employee for future job responsibility.
- Write the plan down on the Employee Development Form, including the possible timetable for the activities.
- Have all three parties sign and date the plan and make copies. Attach the plan to the EPRS form.

When the plan is completed, the supervisor will place a check in the box marked "yes" next to "Formulate a Development Plan" on the front of the EPRS form under Stage C.

5) *Sign the EPRS Form* During this stage, the supervisor will:

- Check off each box in Section C to show that each part of the Annual Review has been completed.
- Explain what signing this section means to each party.
    - *Supervisor's* signature means that he or she has done the ratings and discussed them with the employee. It also means that he or she offered the employee a chance to write down a development plan.
    - *Employee's* signature means that he or she understands the evaluation and the comments written on the EPRS form. It also means the employee has made a choice about the development plan. The employee's signature does not necessarily mean that he or she agrees with the evaluation.
    - *Reviewer's* signature means that he or she has read the evaluation and any comments attached to the form and has made the final annual review ratings and comments.
- Ask the employee to check "agree" or "disagree" to show if he or she agrees with the ratings from both the supervisor and the reviewer. There are two different places to do this on the front of the form, in Section C; one is under the supervisor's rating and the other is under the reviewer's rating. If the employee does not agree with one, or both, of the ratings; he or she should make comments in the space marked "employee comments", under the rating for which they are commenting on.
- Have all three parties sign the EPRS form, make copies for the employee, reviewer and themselves, and then the supervisor will send the original EPRS form to the personnel office.

6) Create a Remedial Development Plan If an employee receives an Annual Rating of "Unsatisfactory" or "Below", a Remedial Development Plan must be implemented. Please refer to Step 8 outlined on page 11 of this guide for the RDP guidlines.

Unless a RDP was created, step five of the Annual Review concludes the Employee Performance Review System process for the year. If a RDP was implemented at Stage C, the employee and supervisor should set a date (no more than 30 days from the date of the RDP) to meet and review the employees' progress, so that a "Satisfactory" or "Meets" rating can be achieved.

It is a good idea for the supervisor to prepare the employee for Stage A for the next fiscal year, by setting a time to begin the actual performance planning. If an employee development plan was written, the supervisor will attach a copy to the next year's EPRS form so that the employee and supervisor can start working towards the goals outlined on the plan.

Q & A

Q: What does EPRS mean?
A: EPRS stands for Employee Performance Review System. EPRS is a tool used by supervisors and employees to plan and to evaluate employee job performance.

Q: Why do I have to do EPRS?
A: Employee performance evaluation is required by Massachusetts Law. The method for doing the evaluation was developed and negotiated through collective bargaining with the unions. EPRS is important because it provides a way for employees, supervisors and managers to see how, and ensure that, they are helping to achieve agency goals and objectives. EPRS lets managers and supervisors see how productive their employees are in carrying out their job duties and it helps employees know clearly what their job duties are and what their supervisors expect from them.

Q: What is the Performance Incentive Pilot Program?
A: The program provides for employees who attain an "exceeds" rating at annual performance review, one day off with pay to be utilized within 6 (six) months of the receipt of the rating, with no charge to leave balance.

Q: Who develops a Remedial Development Plan?
A: Supervisors develop Remedial Development Plans for any employee whose Mid-Year and/or Annual Evaluation is "Unsatisfactory" or "Below".

Q: What are "main job duties"?
A: Job duties describe the "what", "how" and "why" of work assignments. The main job duties are those duties which are most frequently performed and are most important for this year.

Q: What is "performance criteria"?
A: Performance criteria describe what the supervisor and the employee mean when they say that a job duty is done right. The performance criteria will be used when it is time to review actual job performance.

Q: Are there different kinds of progress reviews?
A: Yes, there are two kinds of progress reviews. There are **informal** progress reviews which are short meetings held regularly with the employee to look at what is working and where there are problems in getting the work done. There is one **formal** progress review meeting required by EPRS. The purpose of this meeting is to point out good work as well as to address problem areas of performance. Where there are problems, the supervisor will help the employee to look at how to do the work successfully. At this time, the supervisor goes over the work with the employee and rates performance on each duty and rates overall job performance.

Q: What is the difference between an "advisory" rating and an "annual review" rating?
A: An advisory rating is given at the mid-year review only to advise the employee on their performance so far. These mid-year ratings are not the final rating. The final rating is given at the end of the year based on the employee's performance for the entire year. Final ratings may be used as the basis for personnel decisions such as salary and step increases, promotions, transfers and reassignments.

Q: Should I give my supervisor input on the job duties and criteria that I will be responsible for, or should I keep my comments to myself?
A: Yes, an employee should give their input at any time throughout the three stages. The success of the EPRS is based on two-way communication. It is important that the supervisor and employee are able to express any thoughts, concerns or opinions they may have on any aspect of job duties and performance.

Q: If I refuse to sign the EPRS at any stage of the process, does that mean I am not responsible for the job duties and criteria?
A: No, signing the EPRS form only means that the employee understands what is expected of them. If an employee does not sign the form, they will still be responsible for the job duties and criteria, evaluated on their performance and the form will still become a part of their personnel record.

Q: Once a job duty is listed on my EPRS form, is it possible to change it? Does my supervisor have the right to add one?
A: The answer is "yes" to both questions. Job duties and criteria can always be revised, added or even deleted, depending on the missions and goals of the agency. Any change in job duties must be discussed between the supervisor and employee and an official change must be made on the EPRS form.

Q: How will the evaluation be used?
A: The EPRS form becomes a permanent part of an employee's personnel file. EPRS can be used when:

- Deciding if an employee will get a step raise and/or salary increase
- Taking disciplinary actions
- Making decisions about promotion and job assignment
- Determining necessary job training or development

The Commonwealth of Massachusetts
EMPLOYEE PERFORMANCE REVIEW FORM

Name: _____ Evaluation Year: _____

Agency: _____ Location/Unit: _____

Job Title: _____ Functional Title: _____

Supervisor: _____ Reviewer: _____

The employee and supervisor should consult their EPRS Guide for a full explanation of the purpose and the process of employee performance review. Detailed instructions for completing this form are presented in the EPRS Supervisor's Guide.

A Performance Planning: Employee and supervisor meet to plan the work for the year

____ Discuss contributing role of employee in unit ____ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current Form 30 and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse may be used if more space is needed.

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

---

B Progress Review: Employee and supervisor meet to help the employee meet criteria

____ Discuss progress for each duty ____ Assign advisory rating for each duty ___ Assign advisory rating for overall performance

Progress Review Summary Rating: ____ Satisfactory ____ Unsatisfactory*, or

____ Exceeds ____ Meets ____Below* *Create Remedial Development Plan

Supervisor's Comments:

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

---

C Annual Review: Employee and supervisor meet to evaluate job performance

____ Discuss job performance over whole year _____ Rate performance for entire year for each duty

____ Rate overall performance for entire year _____ Formulate a Development Plan at the option of the employee - Plan attached: ____ yes ____ no

Annual Review Summary Rating: _____ Satisfactory _____ Unsatisfactory*, or

_____ Exceeds _____ Meets _____Below* *Create Remedial Development Plan

Supervisor's comments (explain "unsatisfactory" ratings, unanticipated contributions, areas of improvement and unusual attendance patterns:)

Supervisor: _____

signature/date

Employee: I _____agree _____disagree with this evaluation.

Employee's Comments:

Employee: _____

signature/date

Reviewer's Determination: On the basis of my review I have determined that the employee's rating is: ___ Satisfactory ___ Unsatisfactory, or

___ Exceeds ____Meets ____Below

Reviewer's Comments:

Reviewer: _____

signature date

Employee: I _____agree _____disagree with the reviewer's determination. Employee's final comments:

Employee: _____

signature date

Attendance: Number of days sick leave used_____ Number of days off the payroll_____ Number of days tardy_____

Primary Job Duties/Performance Criteria

Page_____ of_____

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Progress Review Comments:

Annual Review _____ Satisfactory _____ Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

Annual Review Comments:

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Progress Review Comments:

Annual Review _____Satisfactory _____Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

Annual Review Comments:

[illegible]y ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

Progress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Progress Review Comments:

Annual Review _____Satisfactory _____Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

Annual Review Comments:

Duty ____:

Performance Criteria: (Performance is successful if:)

ACTUAL PERFORMANCE:

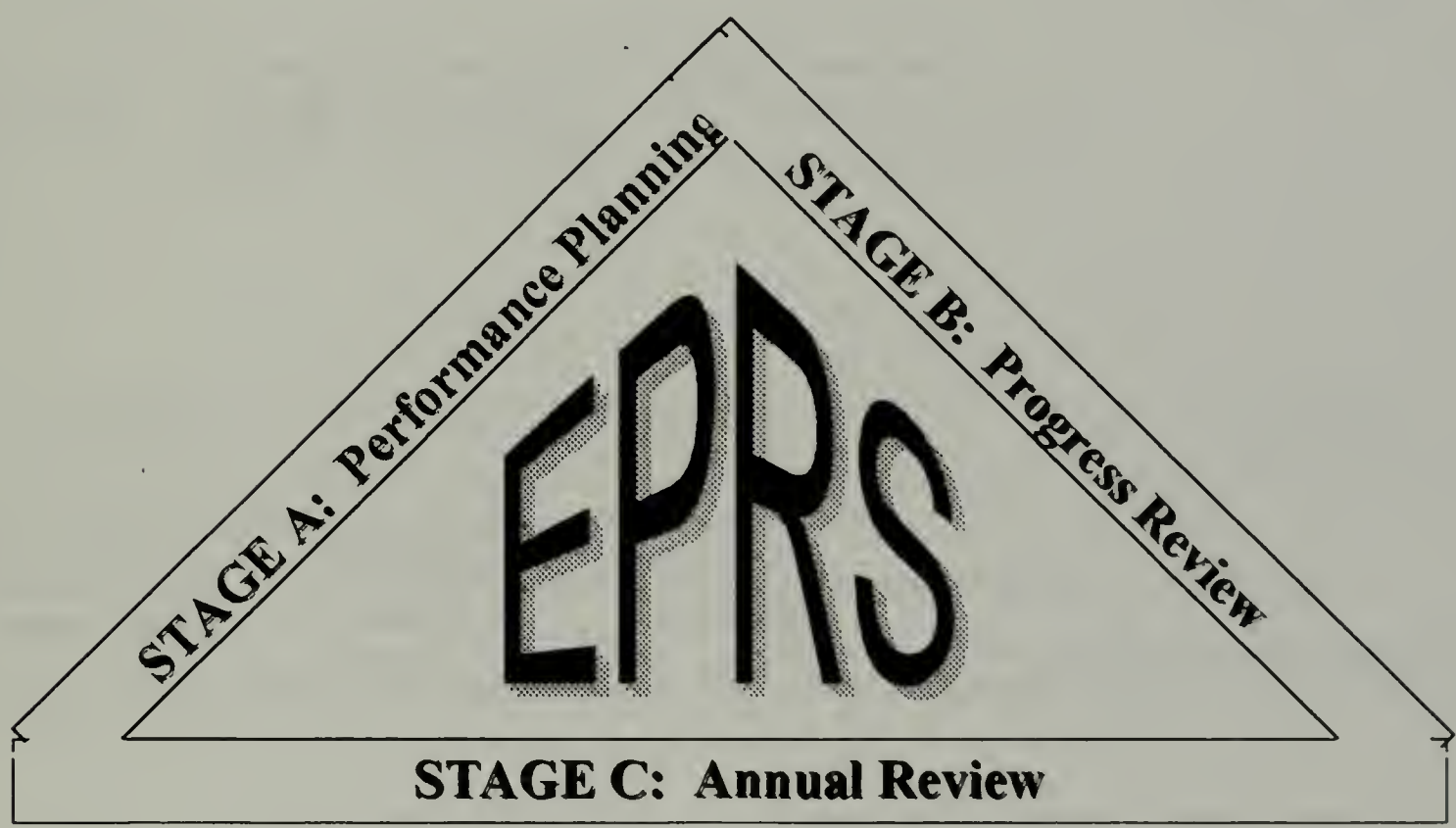
Progress Review ____ Satisfactory ____ Unsatisfactory, or
____ Exceeds ____ Meets ____ Below

Progress Review Comments:

Annual Review _____Satisfactory _____Unsatisfactory, or
_____ Exceeds _____ Meets _____ Below

Annual Review Comments:

The Commonwealth of Massachusetts
Employee Performance Review System



The Forms

The Commonwealth of Massachusetts
EMPLOYEE PERFORMANCE REVIEW FORM

Name: _____ Evaluation Year: _____

Div: _____ Location/Unit: _____

Job Title: _____ Functional Title: _____

Supervisor: _____ Reviewer: _____

The employee and supervisor should consult their EPRS Guide for a full explanation of the purpose and the process of employee performance review. Detailed instructions for completing this form are presented in the EPRS Supervisor's Guide.

A Performance Planning: Employee and supervisor meet to plan the work for the year

___ Discuss contributing role of employee in unit ____ Discuss and finalize the duties and criteria

Primary Job Duties and Performance Criteria: On the reverse side list the employee's primary job duties from the most current Form 30 and the performance criteria which will be used to evaluate the employee's performance of these duties during the performance period. Copies of the reverse may be used if more space is needed.

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

B Progress Review: Employee and supervisor meet to help the employee meet criteria

___ Discuss progress for each duty ____ Assign advisory rating for each duty ___ Assign advisory rating for overall performance

Progress Review Summary Rating: ____ Satisfactory ____ Unsatisfactory*, or

____ Exceeds ____ Meets ____Below* *Create Remedial Development Plan

Supervisor's Comments:

Signatures: _____ _____ _____

Employee/Date Supervisor/Date Reviewer/Date

Comments attached: ___ Yes ___ No ___ Yes ___ No ___ Yes ___ No

C Annual Review: Employee and supervisor meet to evaluate job performance

___ Discuss job performance over whole year _____ Rate performance for entire year for each duty

___ Rate overall performance for entire year _____ Formulate a Development Plan at the option of the employee - Plan attached: ____ yes ____ no

Annual Review Summary Rating: _____ Satisfactory _____ Unsatisfactory*, or

_____ Exceeds _____ Meets _____Below* *Create Remedial Development Plan

Supervisor's comments (explain "unsatisfactory" ratings, unanticipated contributions, areas of improvement and unusual attendance patterns:)

Supervisor: _____
signature/date

Employee: I _____agree _____disagree with this evaluation.

Employee's Comments:

Employee: _____
signature/date

Reviewer's Determination: On the basis of my review I have determined that the employee's rating is: ___ Satisfactory ___ Unsatisfactory, or

___ Exceeds ____Meets ____Below

Reviewer's Comments:

Reviewer: _____
signature/date

Employee: I _____agree _____disagree with the reviewer's determination. Employee's final comments:

Employee: _____
signature/date

Attendance: Number of days sick leave used_____ Number of days off the payroll_____ Number of days tardy_____

Primary Job Duties/Performance Criteria

Page____of____

uty ___:

rmance Criteria: (Performance is successful if:)

CTUAL PERFORMANCE:

rogress Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

Annual Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

rogress Review Comments:

Annual Review Comments:

---

uty ___:

erformance Criteria: (Performance is successful if:)

CTUAL PERFORMANCE:

rogress Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

Annual Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

rogress Review Comments:

Annual Review Comments:

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uty ___:

erformance Criteria: (Performance is successful if:)

CTUAL PERFORMANCE:

rogress Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

Annual Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

rogress Review Comments:

Annual Review Comments:

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uty ___:

erformance Criteria: (Performance is successful if:)

CTUAL PERFORMANCE:

rogress Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

Annual Review ___ Satisfactory ___ Unsatisfactory, or
___ Exceeds ___ Meets ___ Below

rogress Review Comments:

Annual Review Comments:

POSITION DESCRIPTION, DPA-Form 30-State
Commonwealth of Massachusetts

POSITION TITLE CODE

1. POSITION TITLE	AGENCY

2. APPROPRIATION/AGENCY CODE	POSITION NO.	REQUISITION NO.	SALARY	DATE PREPARED

3. GENERAL STATEMENT OF DUTIES AND RESPONSIBILITIES

4. SUPERVISION RECEIVED (Name and title of person from whom incumbent receives direction)

5A. DIRECT REPORTING STAFF	5B. THEIR STAFF

6. DETAILED STATEMENT OF DUTIES AND RESPONSIBILITIES

(over)

7. QUALIFICATIONS REQUIRED AT HIRE (List knowledges, skills, abilities)

8. QUALIFICATIONS ACQUIRED ON JOB (List knowledges, skills, abilities)

9. MINIMUM ENTRANCE REQUIREMENTS

10. LICENSE AND/OR CERTIFICATION REQUIREMENTS

REMARKS

SIGNATURE OF APPOINTING AUTHORITY

TITLE

AGENCY

PREPARED BY

INITIALS OF INCUMBENT

DATE

INITIALS OF SUPERVISOR

DATE

EMPLOYEE PERFORMANCE REVIEW SYSTEM

EMPLOYEE DEVELOPMENT PLAN

Name:_____ Supervisor:_____
Agency:_____ Location:_____
Position:_____
Evaluation Year:_____ Date:_____

Goals: (what the employee is working to accomplish)

-
-
-
-

Plan:

DEVELOPMENT ACTIVITY (Which development activity will be done)	LOCATION (Where development activity will be done)	PLANNED DATE(S) (When will development activity begin and end)

Employee Comments:

_____ _____
Employee's Signature Date

Supervisor Comments:

_____ _____
Supervisor's Signature Date

Reviewer Comments:

_____ _____
Reviewer's Signature Date

EMPLOYEE PERFORMANCE REVIEW SYSTEM
REMEDIAL DEVELOPMENT PLAN

Employee Name:_____ Supervisor:_____

Agency:_____ Location:_____

Position:_____

Evaluation Year:__FY_____ Date of Plan:_____ Plan Effective as of:_____

Part I

Remedial Action Plan

It is anticipated that the above named employee will receive a rating of "Below"/"Unsatisfactory" at ____Stage B ____Stage C.

In order to attain a "Meets"/"Satisfactory" rating at the next performance review meeting, the employee must:
(List specific actions that the employee must take in order to attain a "Satisfactory" or "Meets"/"Exceeds" rating. List the criteria that will measure the progress of each specific action.)

- **Action:**

  Criteria:

- **Action:**

  Criteria:

- **Action:**

  Criteria:

- **Action:**

  Criteria:

The success of this plan will be reviewed every thirty (30) days, until a rating of "Satisfactory" or "Meets"/"Exceeds" is achieved.
The date of the next review has been scheduled for:____/____/____ (no more than 30 days from the Date of Plan).

_____ _____ _____
Employee Signature/Date Supervisor Signature/Date Reviewer Signature/Date

Part II (Completed up to 30 days after the RDP was implemented)

Evaluation of the Remedial Development Plan

Employee ____did ____did not receive a rating of "Meets"/"Satisfactory".

____The Remedial Development Plan was successful.
____The Employee needs to continue with the Remedial Development Plan until the time of the next review (no later than 30 days).

_____ _____ _____
Employee Signature/Date Supervisor Signature/Date Reviewer Signature/Date